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iQ / THE R·I·M QUARTERLY

Professionals Australasia

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Comments from the Chair

DAVID PRYDE, MRMA
Chairman of the Board,
RIM Professionals Australasia

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Professionals Australasia

Is WikiLeaks the precursor to information dam-busters?

How should we judge WikiLeaks overlord and founder Julian Assange? Is he a master whistleblower playing his transparency and accountability tunes on deaf government ears, or perhaps a spy master hacking the truth from unsuspecting world politicians as Interpol's newest public enemy? Is he a treasonous terrorist as Sarah Palin and other Capitol Hill cronies labelled him? Or is he just a very clever and very naughty boy?

As records and information managers, are you appalled as new and more outlandish revelations are disclosed containing diplomatic intrigue via WikiLeaks each day? Or does the anarchist, suppressed deep behind the safety of your well-trained conscious mind smile at the publicity this issue is drawing to our profession. Risk management from within is back on the table.

While the media concentrates on the diplomatic name-calling that has escalated into game-show proportions on the nightly news, I am concerned at the ease by which honest, unassuming and previously law-abiding citizens are prepared to break the law in 'leaking' this information. In most cases they are not even being paid for the information – but see it as a duty.

As politicians the world over collectively vent their spleens in outrage and condemnation purportedly on the grounds that the releases are a risk to national security, 920,691 Facebook account owners have disagreed by clicking the 'Like' icon in support of WikiLeaks. In its November 2010 issue, *Time Magazine* stated that WikiLeaks could become as important a journalistic tool as the Freedom of Information Act.

Whether Mr Assange is an information Robin Hood or a sexual predator remains to be seen in the courts. One thing that he has changed forever via the website model, which could lead to a virtual flood of leaked material, is the stigma removed from whistle-blowing. Now the previously 'unsavoury' business can be undertaken anonymously and without recrimination without leaving the comfort of your home.

It is then up to the media to determine the validity of the information and whether a story exists. But without proper government controls to protect the public, who determines whether a story is appropriate or not? Under what set of criteria is it determined? A journalist and his editor? Yeah right!

I am all for freedom of speech and expression! I have to admit to chuckling to myself on learning of the embarrassment of political figures now on record for making disparaging comments about their peers. The governments we are laughing at have years of experience making good decisions for the good of their countries. This whole issue is related to when people feel they aren't.

When accountability is taken out of the hands of the law and acted upon by well-meaning but uninformed or lesser experienced persons – then where are the weights and measures of accountability then?

Note that WikiLeaks does not keep logs or metadata about their sources.

"WikiLeaks does not record any source-identifying information and there are a number of mechanisms in place to protect even the most sensitive submitted documents from being sourced. We do not keep any logs. We can not comply with requests for information on sources because we simply do not have the information to begin with". (http://213.251.145.96/Submissions.html)

If a significant impact, like a death for example, were to result from a story run by a WikiLeaks journalist – where is the accountability when the source is untraceable and the journalist is a by-line in cyberspace?

> "WHO IS WATCHING THE WATCHERS?"
> (ANONYMOUS QUOTATION)

NEW YEAR GREETING

I hope all members took the opportunity for a hard-earned rest over the festive season with your families and friends, and that you have returned to your workplace invigorated and ready to attack any challenge that comes your way.

I wish you all peace, joy and happiness for 2011.

David

From the CEO

KATE WALKER
FRMA MAICD AMIM, MBA, BSC (BAdm), AdvDipBus (Rkg), DipBus (Adm)

Chief Executive Officer,
RIM Professionals Australasia

iQ / THE R·I·M QUARTERLY
Professionals Australasia

What's in a change of name?

We are pleased to announce the name change of the Records Management Association of Australia (RMAA) to Records and Information Management Professionals Australasia (RIM Professionals Australasia).

We believe the new name will translate into better representation of the profession and advocacy on behalf of our members as all-round information managers. It is a dusting-off of the old perception of records managers as simply custodians, when they are now engaging technology 'hands on' and emerging as facilitators and enablers of knowledge through information.

RIM Professionals Australasia will continue to fulfil the role of the peak professional body for records and information management and to advance, develop and enhance excellence in records and information management professionals and promote the profession, and its values, to the community.

ABOUT RIM PROFESSIONALS AUSTRALASIA

RIM Professionals Australasia is a not-for-profit association and the leading authority on managing records and information. RIM Professionals Australasia members have access to invaluable resources, such as legislative and regulatory updates, standards and best practices, technology trends and applications, live and web-based education, marketplace news and analysis, books and videos, and a global network.

Founded in 1969 (as RMAA), RIM Professionals Australasia and its many branches and chapters are dedicated to helping individuals and organisations successfully meet the challenges associated with managing records and information in all formats.

Our members include records managers, legal professionals, IT managers, archivists, corporate librarians, imaging specialists and consultants, all of whom work in nearly every industry.

RIM Professionals Australasia leads the direction and fosters the growth of the records and information management profession through actively setting standards and building the capability of the profession.

Through its international affiliations and its close association with industry and academia, RIM Professionals Australasia ensures that its members are given access to a soundly-based professional recognition framework.

OUR VISION

The RIM Professionals Australasia vision recognises the changing requirements of business against a background of considerable economic challenge. It also acknowledges the continuing opportunity for the records and information management profession to actively contribute specialist knowledge for the delivery of records and information management solutions to business.

OUR CORE PROGRAM AREAS

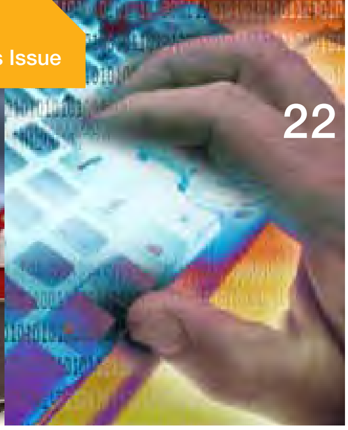
Advocacy: To facilitate effective dialogue amongst members – between RIM Professionals Australasia and government and private sectors and legislative bodies; and between RIM Professionals Australasia members – collectively and individually – and the public to promote a better environment, expanded influence of the records and information manager in society, and a healthy future for the profession.
Community: To maintain and cultivate relationships to better engage and support our members in strengthening the profession and supporting community expectations.
Knowledge: To facilitate the sharing of knowledge that inspires and enables members, records and information management professionals and the public to engage creatively and credibly to address community needs. To encourage and support professional education and training of members, through development, accreditation and delivery of programs.
Governance: To utilise effective management and fiscal responsibility to implement programs and governance and provide transparency and accountability to the stakeholders.

Kate

R·I·M
Professionals Australasia

- For more information, please visit www.rimpa.com.au or contact Kate Walker at kate.walker@rimpa.com.au.

In This Issue



COVER STORY: How to use data and information to create the most dynamic enterprise possible.

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***iQ* ONLINE ARCHIVE**
Copies of articles published in *iQ* since 1984 are available at the Members Only section of the RIM Professionals Australasia website, in the *iQ* Article Archive. Complete back issues from February 2005 are available electronically at the Members Only section of the RIM Professionals Australasia website.

The Members Only section of the website can be accessed with RIM Professionals Australasia membership, or, outside Australia and New Zealand, with the purchase of an *iQ* annual subscription.

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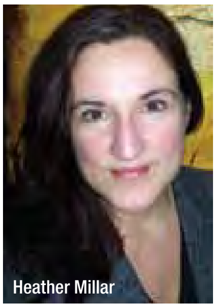
FROM THE EDITOR'S DESK


Heather Millar

As you will notice if you look carefully at the branding on this issue of *iQ*, this is the first issue of the magazine in its new guise as the quarterly journal of the Records and Information Management Professionals Australasia (formerly RMAA). It is hoped that the breadth of the work that RIM professionals do is reflected in this new name – and that the breadth is also reflected in this magazine. Take for example, Lynsey Herron's article on page 18 in this issue on the skills required of today's 'information professional' who – while being responsible for the management of information as well as records – also acts as administrator, electronic records manager, marketer, people manager, negotiator, and the list goes on.

This evolution of the name of our organisation is reflective of the industry itself, of course. Paula J Smith, in her article on page 12, talks about how in 2011 "we must look to not only increase our skillset, but also increase and improve our relationships with the other information disciplines" – evolve or die is the challenge she sets. Her excellent article reports on some of the 'cool tools' she encountered on her recent trip to OpenText Content World in Washington DC, and how we need to work together to "define a compliant, cost-effective and useful system and program for our organisations, enabled by technology not driven by it."

The theme of this issue is 'Ticking the boxes' – standards, governance, compliance and risk management. You will find articles on these subjects throughout the magazine. But as Paula points out, it is more important than ever that RIM professionals can demonstrate value to their organisations in terms of productivity and fiscal opportunities, staff engagement and empowerment, customer satisfaction and all of the other value-add services that are part of what they can offer – not just in terms of compliance. After all, the world is a rapidly changing place and if the RIM profession is not to be left behind, it must "swim with the tide not against it".

WHO ARE OUR MEMBERS?

So just who are the readers of *iQ* and the members of RIM Professionals Australasia? Once a year, some of us get to meet at inForum; others meet at state functions, branch meetings etc. *iQ* is a great opportunity to explore some of the stories of the people in our association. In this issue, you will get to 'meet' a marathon running senior lecturer from Victoria University, Wellington – Dr Gillian Oliver; a State librarian from South Australia who is writing a war history – Jenny Scott; and a rev-head from Sydney – the bubbly Ange Summers, who writes about branding in this issue, in a follow-up to her popular 'Marketing RIM' article in the last issue of *iQ*.

If you know of any RIM professionals who lead interesting double lives – or indeed if you live one yourself – please let us know at editor.iq@rimpa.com.au. We'd love to write about them in *iQ*.

NEXT ISSUE…

The theme for our May issue is 'Information Overload: finding the tree in the digital forest'. If you have something to say on the subject, please get in touch – I'd love to hear from you.

HEATHER MILLAR
Editor, *iQ* Magazine
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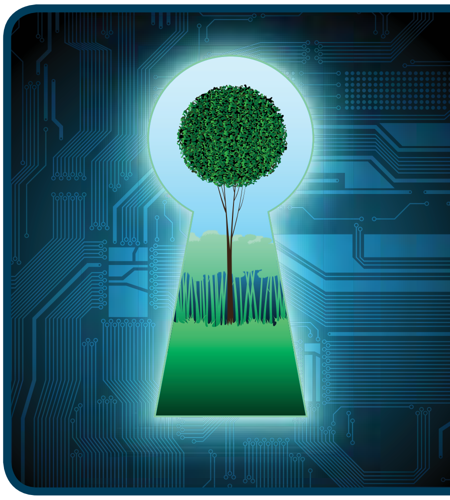

Coming up, in the May issue of *iQ*:

INFORMATION OVERLOAD

– finding the tree in the digital forest

Deadline, 31 March 2011

WORLDWIDE NEWS

ISO PUBLISHES STANDARD FOR DIGITISATION OF HARD-COPY RECORDS

A new global standard for document digitisation has been completed by the International Standards Organisation.

Called *ISO/TR 13028-2010, Implementation guidelines for digitisation of records*, it was published on 1 December after some four years' work by the Archives and Records Management sub-committee TC46/SC11, led by Australian chairman David Moldrich.

Drafting was done by a working group headed by New Zealand, initially chaired by Archives New Zealand's Greg Goulding until he was appointed acting Chief Archivist, then by Stephen Clarke, formerly of Archives New Zealand, now with the NZ Inland Revenue Dept. The working group comprised some 20 countries.

The ISO publication was based on Archives New Zealand's Recordkeeping Standard S6: Digitisation Standard, published in January 2006, which was put to the ISO for adoption in 2007.

An editorial group consisting of Stephen Clarke and Sydney RM consultant Barbara Reed was appointed with advisory members Cristina Fernandez (Spain), Louisa Venter (South Africa) and Alan Shipman (UK) to consider comments throughout the process and make recommendations for amendments.

In 2008, the work was proposed as an ISO 'standard', but under ISO drafting rules that would allow only mandatory content. There was broad agreement in the working group that non-mandatory advice and guidance should be included to underpin the prescriptive requirements.

EXTENSIVE HANDS-ON GUIDANCE

So, in 2009, the document passed an international ballot classified as a technical report ('TR'), indicating that it contained extensive hands-on guidance in addition to statements of principle. Its opening stanza says that with the shift to managing records in digital systems, many organisations are digitising paper and/or other non-digital records.

It defines 'digitisation' as the process of converting hard-copy, or other non-digital records into a digital format; imaging non-digital source records by scanning. It declares:

"To manage themselves effectively, organisations need to create full and accurate records of their activities and maintain these records over time for subsequent reference. These considerations are valid regardless of the records' storage media."

It establishes best practice to ensure the trustworthiness and reliability of digitised records and how the procedure might impact on the legal admissibility and evidential weight of such records. It deals with processes for accessibility, long-term retention and disposal of the digitised records.

Its purpose is to provide a robust framework for digitisation of records within a records management context.

It seeks to instil good business practice and elucidate a set of best practice principles and procedures. It does not seek to take a 'thou shalt' proscriptive approach, it does not just list a series of tick boxes to meet a compliance end, but gives context to organisations to make their own decisions about how to meet outcomes-focused requirements.

DISPOSAL OF SOURCE DOCUMENTS

Disposal of original source documents after digitisation was always going to be a focal point for the standard. The legislative and regulatory environments varied widely across the world's jurisdictions so strict criteria for the disposal process was impracticable. The solution was to produce a set of requirements that would ensure that the integrity and inherent 'record-ness' of the original was retained.

More contentiously, on the subject of disposal of hard-copy after digitisation, it advises: "Before destroying masters or derivatives, organisations should conduct analyses of their business processes to ensure that the appropriate format of the record on which the business action takes place, or which evidences the action, is identified and the record in that format/s is managed according to any jurisdictional records legislation or regulatory requirements."

It says that decisions to destroy non-digital source records should be documented and the information kept readily available. It specifies: "Authorisation for destruction and the instance of destruction of the non-digital source record should be documented in the metadata associated with the digitised record. Disposition actions should be documented and authorised by the relevant authority in an organisation, such as the chief executive officer, legal or administrative head or the delegated appropriate senior management representative."

This standard is a welcome addition to the canon of records and information management standardisation and fills a real gap in the international literature.

RAISING NZ'S RECORDKEEPING STANDARD

Two new New Zealand recordkeeping standards will raise the standard of recordkeeping across the government sector and increase business efficiency, says Greg Goulding, Archives New Zealand's Acting Chief Executive and Chief Archivist.


Greg Goulding, Acting Chief Executive and Chief Archivist, Archives New Zealand

"The Disposal Standard and the Digital Recordkeeping Standard are important, practical tools," he said. "They will help public sector organisations achieve crucial governance and business benefits."

The standards were launched in November 2010 and become part of the suite of Archives NZ recordkeeping guidelines. Mr Goulding said the Disposal Standard was mandatory for all public offices and local authorities, with the exception of schools. The Digital Recordkeeping Standard addressed the many significant challenges in the ever-changing digital world.

He told *iQ*: "The public sector needs to ensure records created in dynamic business systems and electronic recordkeeping systems are available when they are wanted." He added, pointedly: "Ensuring resources are spent managing only those records needed for business and an accountability purpose makes economic sense."

The standards suite covers storage, access, digitisation and electronic recordkeeping systems and is online at http://archives.govt.nz/advice/continuum.

INDUSTRY NEWS CONTRIBUTORS: **PHIL TAYLOR**, **MICHAEL STEEMSON**, **BARRY HOWARD**

• If you have any news stories for *iQ*, please contact editor.iq@rimpa.com.au

JENNY'S HUNTING FOR WWII AIRMEN

Why is an Adelaide State librarian looking for New Zealand World War II airmen?

That's easy enough! She's writing a book about the Pacific War history of the Royal New Zealand Air Force No 6 Flying Boat Squadron. Fine, but why's she doing that?

It's because the Content Services Librarian at the State Library of South Australia, Auckland-born Jenny Scott, is the daughter of Wing Commander Alastair 'Scotty' Scott, who was the squadron's adjutant while it served at Halavo Bay in the Solomon Islands, flying Catalina flying boats on search and rescue missions throughout the bloody Pacific War.

She told *iQ*: "In 1991, my father was diagnosed with heart disease and as his health deteriorated, I got out the old photos and started asking questions I knew had some urgency. Together, we wrote to former No 6 Squadron colleagues attempting to identify the men in the photos and collect memories of Halavo Bay."

Scotty died in 1993 but their research got Jenny invited back to New Zealand again to attend the June 2010 unveiling of the squadron's battle honours at the RNZAF base, Whenuapai, north of Auckland and now she's "starting to write the history of 6 Squadron in the SW Pacific 1943-45".

She is looking for details of the hundreds of airmen who served with 6 Squadron during the war. She explains: "When the war ended, memories of Halavo Bay, the mosquitoes, rations, and distance from loved ones were recent enough that few gave priority to photographs that recorded the men and activities of the squadron."

"But the then Flight Lieutenant Scott, in his methodical way, did. He ended up carrying precious 'time capsules' with him from Halavo Bay to Fiji, RNZAF flying boat base Shelly Bay in Wellington (where he met my mother), RNZAF Whenuapai and Ohakea and, on retirement in 1971, to Adelaide."

Jenny has twice been back to NZ to interview veterans and to search records at RNZAF Wigram airbase and Archives New Zealand. Now she hopes to find more personal records of other men serving with the squadron during the conflict.

"I imagine some records have been lodged with local history groups, archives and museums," she says. "But much will still be in private hands, a lot of it at risk; the *grandpa's-old-junk-chuck-it-out* syndrome."

- Jenny can be contacted at scott.jenny@slsa.sa.gov.au.

Flt Lt 'Scotty' Scott, 1940

(L-R) Commander James Tayler, Commanding Officer RNZAF 6 Squadron; Jenny Scott; and Catalina Captain Dee Bond – on the tarmac at RNZAF Whenuapai – the Catalina is behind them.

ANZ/NLNZ MERGER

The New Zealand Government's embattled plan to absorb Archives New Zealand and the country's National Library into the rag-bag Ministry of Internal Affairs (DIA) is complete.

Anti-merger campaigners now pin hopes on an NZ Opposition Labour Party promise to "give Archives New Zealand the independence it needs and deserves" once it returns to power.

Opposition spokesman, Grant Robertson, made the promise in the "minority view" to the report of the Parliamentary Select Committee reviewing the merger legislation. The dissenting statement said: "We believe that this merger will undermine vital components of our constitutional and democratic infrastructure."

It listed a number of preferred options including returning to the present stand-alone department, a variety of Crown entity models or appointment of the Chief Archivist as an Officer of Parliament. The statement said: "On return to Government we will investigate the best model."

The chief executives of both absorbed agencies have moved on. Acting Chief Archivist Greg Goulding has been appointed Acting Deputy Chief Executive of the DIA's new Service Delivery and Operations Group. The post of Acting Chief Archivist has passed to John Roberts, formerly Acting Group Manager, Government Recordkeeping, to which post his deputy, Evelyn Wareham, has been appointed. Senior Advisor Mark Crookston has taken over her former role.

Chief Librarian Penny Carnaby, resigned unexpectedly in mid-December, six weeks ahead of her announced schedule. She was replaced by her deputy, Sue Sutherland, in an acting role.

The new entity came into effect on 1 February. Its enabling legislation, the State Sector Management Bill, passed its final parliamentary process under Government Urgency procedures before Christmas.

The bill was strongly opposed by the Archives and Records Association of NZ (ARANZ), whose president, John Timmins, commented after the Bill's third reading: "At this point we must agree to disagree with the Government. In the meantime ARANZ will be closely monitoring the merger implementation program."

Administration of the merged units is to be the responsibility of a newly-created DIA post, the Deputy Chief Executive, Knowledge, Information, Research and Technology (KIRT). The man expected to be confirmed, Stephen Crombie, has filled the acting role since late last year.

Stephen Crombie, MSc., Acting Deputy Chief Executive, Knowledge, Information, Research & Technology, Department of Internal Affairs.

Mr Crombie, an IT specialist, joined the DIA as General Manager, Government Technology Services, in 2008. He previously held management roles at Ericsson and NZ Telecom.

The next General Election in New Zealand is due to be held no later than January 2012.

VERNE HARRIS REVEALS MANDELA THE 'OBSESSIVE RECORD MAKER'

South Africa's iconic President Nelson Mandela sent his Foundation's archivist, Verne Harris on a world whistle-stop to publicise his latest volume, *Nelson Mandela: Conversation with Myself*.

New Zealand information professionals heard Mr Harris, the head of Mandela's 'Centre of Memory and Dialogue', address a brief afternoon seminar at Wellington's Victoria University's Rutherford House early in November.

The new book is a massive compilation of the president's letters, speeches, notes, doodles and diary entries, put together by a team of followers and information managers. In his revealing Introduction to the volume, the archivist writes: "For most of his adult life, Mandela has been a diligent maker of records and an obsessive record keeper."

He told the Wellington audience: "The book gives readers access to the Nelson Mandela behind the public figure through his private archive. Here he is meditating on his experience, interrogating his memory, conversing with a friend. Here he is not the icon or saint elevated far beyond ordinary mortals. Here he is like you and me."

Verne Harris was given a free hand with the book project after he was summonsed by Mr Mandela. He recalled: "I was responding to a signal from him. He phoned the Foundation Archives for me to come over to his house. He presented us with a box of personal material. Later, he kept giving us more of these boxes, clearly inviting us to put these things into the public domain.

"But he did not want to be personally involved with the new book. He was not altogether comfortable with his earlier work, *Long Walk to Freedom*. He sees autobiography as self-praise. But there was no censorship."

After the seminar, cheerful, skinny Verne Harris signed the title page of the new book with the staunch freedom-fighter message "a luta continua" *(the struggle continues)*, but declined a pint of Montieth's best brew in the capital's historic Thistle Pub across the road. On an unaccustomed short leash, he had to dash for the airport and his next publicity appointment for publishers Macmillan.

MAN ACCUSED OF CRIMES DUE TO POOR RECORDS MANAGEMENT PROCEDURES

The impact of incorrectly filing a document in a file has been dramatically exposed in a recent case highlighted by the media.

The Queensland Department of Child Safety has been accused of failing to correct a file that contained a false report that accused a grandfather of being a rapist and for fathering his own grandchild. The accusation of being an incest rapist was discovered by the grandfather in 2009 when he sought access to his file under Right to Information legislation.

MARATHON EFFORT

Victoria University's lanky archives and records management senior lecturer, Dr Gillian Oliver, is in 'serious training' preparing to run in April's London Marathon.

She aims to raise at least £2,000 ($4,000) for the international Leonard Cheshire Disability charity. Every day since October, she's been punishing the pavements and scenic walkways through the hills of windy Wellington, spurred by thoughts like: "Snowy tales from Britain really help me get out the door in the mornings. Can't complain about our weather."

Redhead Gillian will run the 42.195 kilometres (26 miles and 385 yards) marathon from south London's Greenwich Park to The Mall opposite Buckingham Palace on Sunday, 17 April, to support her elder sister, Brenda, a patient in a Yorkshire Cheshire Home since suffering a severe brain haemorrhage five years ago.

In her on-line fundraising page, http://uk.virginmoneygiving.com/GillianOliver, Gillian explains: "I want to make a practical contribution towards Brenda's care; it's difficult for my parents and myself as we are so far away from her in New Zealand. Also, of course, I want to highlight the wonderful work done by Leonard Cheshire Disability worldwide. Leonard Cheshire Disability's international programs help people of all ages get access to relevant services."

The Leonard Cheshire charity was established by in the late 1940s by RAF hero, Group Captain Leonard Cheshire VC (Baron Cheshire of Woodhall, 1991) a former commanding officer of the famous Dambusters, No 617 Squadron and one of World War II's most highly-decorated R.A.F. pilots.

Above: Dr Gillian Oliver
Right: Sisters Gillian (left) and Brenda (née Alexander) c 1960 – the image Gillian has used on her fund-raising web page.

He discovered in the file a document alleging the girl 'was a product of rape and the father/grandfather is now currently in prison'. The grandfather questioned the status of the document and raised its accuracy with departmental officers but was told the file would not be altered. He pointed out that he could not be the person mentioned because he was in the office and not in prison.

The grandfather raised the matter with the Minister for Child Safety, his local MP and other officials in the Queensland Government but no action was taken to investigate the matter. The Department of Child Safety confirmed that the file contained details of a criminal with an identical surname and first initial and various documents had been incorrectly attached to the man's file.

While the matter had been drawn to the Department's attention some time ago, action to investigate the matter and rectify the mistake did not occur until the matter was raised in the media. The Department has undertaken to rectify the error and will review its practices for handling documents. **iQ**

In Memoriam: Brendan Dean 1968-2010

Commerce Commission's Knowledge and Document Advisor, Brendan Dean – aged 42 – died suddenly while at his gym on 25 October.


RIP Brendan Dean

Born and educated in Dunedin, Brendan started his tertiary studies in Dunedin and completed them in Wellington with a LLB and more recently MLIS from Victoria University of Wellington in 2001. He worked at the Parliamentary Library in a number of roles, before taking a position as an Information Advisor at the Commerce Commission's Information Centre in 2003. In this role, he was responsible for the management of the Commission's records and its newly implemented electronic document management system. Brendan was very much the champion of the system. He provided one-on-one training to all new staff and ensuring the system's integrity while it still met people's needs. He joined RIM Professionals Australia in mid-2004.

Brendan was a passionate and dedicated supporter of records and document management. With his dry wit and mastery of language, he was a much loved and valued staff member of the Commerce Commission and well respected in the wider records community.

His sudden death has deeply shocked all who knew him and he will be sorely missed. He is survived by his sisters and parents and a number of very close friends.

A funeral service was held in Wellington on 31 October.

Juicy recordkeeping issues in hospital records purge

Late last year, the *Sydney Morning Herald* carried an angry feature by Sydney University psychiatrist and clinical lecturer Dr Greg de Moore written after witnessing an 'outrageous act' – the 'cull' of more than 4,000 psychiatric medical files – ordained by a change in NSW Government records retention policy. The newspaper report, at the time on line at www.smh.com.au/opinion/politics/destroying-records-is-an-act-of-vandalism-20101129-18dta.html, drew thoughtful reactions from eminent Australian recordkeepers.

BY **CHRIS HURLEY**, MRMA

Under the headline 'Destroying records is an act of vandalism', the Sydney Morning Herald of 30 November carried an article by a Sydney psychiatrist and academic decrying what he called a wholesale purge being undertaken of NSW government medical and psychiatric records following a recent change in retention policy.

Amongst his claims:

- Medical records from Rozelle/Callan Park, Cumberland, James Fletcher, and Kenmore psychiatric hospitals dating back to 1960 have been stripped as part of a recently initiated state-wide cull.
- Until recently in-patient psychiatric files were kept indefinitely but a change in guidelines means they are now kept for only 15 years after latest contact.
- The new guidelines are being applied retrospectively (ie. applied to records created under the old guidelines as well as prospectively).
- The rationale is cost-saving.
- That problem could easily be solved by scanning them and storing them digitally.
- There has been no consultation with psychiatric staff in NSW.
- The period 1960 to 1990 is one of special interest covering a wave of new medications and introduction of the de-institutionalisation policy and (by implication) the records from that period should be amnestied from a generic policy covering less tempestuous times.
- The rights of patients and their families and of professionals involved in the programs have been ignored.
- The records would have been a significant source for historical research.

JUICY ISSUES TO SAVOUR

Lots of juicy recordkeeping issues here to savour. There is always a tension between the privacy/confidentiality principle in medical recordkeeping at odds with the idea that they can be kept for purposes specific to medical research but unrelated to treatment of the data subject or even kept confidentially until sufficient time has elapsed to permit broader historical research. Some privacy and medical records people deny the validity of the latter (and even the former) use. The question has often been decided in favour of medical confidentiality but the broader issue (can any personal records

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be kept for ultimate historical research when their earlier release would have been be a privacy breach?) remains unresolved, I believe.

If privacy rights do not persist beyond the grave (they don't in most jurisdictions), you can argue that personal records having research value should be kept securely until the data subject dies and they can then be released for historical research. The alternative view is that since privacy cannot be protected beyond the grave you should destroy them early to prevent this from happening.

The author's faith in digitisation as a no-cost alternative to storage is touching. But the underlying issue is: to what extent should cost be the determining factor in appraisal? Is there any point in the retention spectrum at which the cost of keeping the Domesday Book would outweigh the cultural argument for retaining it?

In my view, and without benefit of knowing anything apart from the facts presented in this very spirited article, a case could be made for retention (despite the usual considerations of confidentiality for medical records). I think the point about the possible need for records of the de-institutionalisation era as an exception to general rules (for subsequent administrative, policy-making, possibly judicial, and also historical review) is a strong one.

Even if historical claims are dismissed on confidentiality grounds, it would seem that the on-going relevance of these records for case-work reasons could extend at least to the prospective lifetime of the data subjects and not just to 15 years after last contact. Interesting stuff! iQ

How to share the information for patient benefit

BY **GEOFF SMITH**, ARMA

The *Sydney Morning Herald* article is perhaps not the most balanced article. But it is right to point out that this issue of medical records and privacy is nowhere near resolution. I can recall being at an ASA Conference in Manly in 2002 where the issue of medical records and privacy was discussed but no resolution achieved.

If this hospital records 'cull' was a matter of 15 years' retention then the changes made by the NSW Government may just be to bring the period into line with other hospital medical records.

That there has to be a period of no contact with the patient before a record can be destroyed has always intrigued me. It assumes patients have not had further medical contact with any practitioner in that time. How would hospital recordkeepers know, necessarily?

A more interesting recordkeeping question would be to ask how to share patient information and so better know when it really would be of no further value to the person concerned, i.e.: post mortem. And, all along, it's worth remembering that people don't own their own medical records, unless that principle's changed, too. iQ

About the Author

GEOFF SMITH is the Roads and Traffic Authority (NSW) Corporate Archivist in the Business Services Group, now part of Transport Shared Services.

Making records management fit for purpose

The OpenText Content World Conference is a global event held every year where new products are revealed. This article discusses some of the 'cool new tools' revealed at the conference and what they may mean for the records and information management profession.

BY **PAULA J SMITH**, ARMA

Story Snapshot

- Beyond compliance, what do records managers actually do?
- What are the implications as we move towards mobile working situations?
- Educate yourself in the new technology – talk to vendors now.

In his book *Managing the crowd*, Steve Bailey talks about the need for records management (RM) to evolve, to move our disciplines and our thought processes into the new Web 2.0 paradigm. While there were no answers in that book, Steve definitely gave food for thought, and as I sat listening to presentations at OpenText Content World Conference in Washington DC in November last year, it occurred to me just how vital that is. So let's start at the beginning and ask ourselves – just what exactly is RM for?

WHAT ON EARTH IS RM FOR?

Many of you reading this will probably be having a minor seizure at this point – "What a stupid question!" I can almost hear you say, but is it a stupid question? A friend of mine recently asked me, "Besides compliance, what do you actually do for a business?" It got me thinking…

Since the beginning of time we have been the gatekeepers, the custodians, the protectors of information – of records. And yes, I will interchange these terms. I do not believe that in this

“WE ARE MOVING, THANKFULLY, FROM THE ‘DESK BOUND’ TO THE ‘DATA BOUND’ AND WHILE WE RELY HEAVILY ON DATA AND INFORMATION, THERE IS NO REAL NEED TO BE TIED TO THE DESK”

modern world you can separate information and records in any meaningful way. Academically you can give me the differences and the definitions but, in a real business sense, we are doing ourselves and our profession a great injustice by artificially separating the two.

So my fellow professionals, in 2011 we must be able to define RM. In harsh economic and political environments, it is more important than ever that we can demonstrate our value to organisations in terms of risk management and mitigation, productivity and fiscal opportunities, staff engagement and empowerment, customer satisfaction and all of the other value-add services that we bring to our organisations – not just in terms of compliance.

But is our skillset ready to make this bold statement? And my friends we must be honest with ourselves here. Our profession has relied heavily on our ability to read and interpret legislation, to provide that interpretation to our organisations. But what about the practical implementation of this advice, and the all-important negotiation, engagement and training skills required? In 2011 and beyond, the skillset of RM must broaden, we must look to not only increase our skillset, but also increase and improve our relationships with the other information disciplines.

There is a valid reason for the renaming of our annual convention to inForum and, as I sat listening and watching the presentations and discussions at Content World, that reason truly hit me. The line between records, information, data, and knowledge is blurring in ever-increasing ways. The convergence of technologies, the advances, the ways in which we are using the technologies before us mean that we as records and information management (RIM) professionals cannot see ourselves and our discipline as divorced from the paradigm in which we operate. If we are truly to deliver the risk reduction, process improvements, compliance and productivity gains we talk about then we must collaborate with our colleagues in other areas, actively working with them, and where doors seem closed we must find a window, crawl through it and be such an explosion of energy and purpose that all doors are blown open.

THE MOBILE WORKFORCE

In his 2010 book, *Managing content in the cloud*, father of ECM, Tom Jenkins, talks about the realities of modern working, the increasingly mobile workforce and the tools that are now available to them. We are moving, thankfully, from the ‘desk bound’ to the ‘data bound’ and while we rely heavily on data and information, there is no real need to be tied to the desk. “Can you just wait while I get the file and I’ll call you back” is becoming a thing of the past and, from a customer service point of view, long may it be so. But what of the implications for this modern way of working on our profession and our tools? Let me give you a current example.

Each year the leaders of the world’s major advanced and emerging economies meet to discuss issues, strategize and agree ways forward to ensure the global stability of our financial markets. The delegates of the G20 Summit – presidents and prime ministers – work together before, during and after the seminar not desk bound in office spaces, but on the move; discussing, collaborating, strategizing through their mobile devices, using the OpenText tools in one of the most secure environments in the world. If our global leaders are comfortable with this technology, why do we see so much resistance in the general community?

In New Zealand we have had many discussions around the lack of security, controls and process around mobile working. Is the basic problem really a lack of trust? The tools are out there, with the ability to deliver real productivity gains as staff can work and live on site without the need to come ‘back to base’ to upload information.

So why aren’t we using it? In many areas it is simply because the checks and

balances aren't there yet. We are concerned with the potential risk of non-compliance if workers are too mobile – after all, if they are mobile they can't be adding information into the lineof business systems, can't be adding their reports into the DMS etc.

But if users can do all of this, then we as RIM professionals should be looking for opportunities to enable it, to be the supporter of smart working rather than the soothsayer of doom that we are often perceived to be.

RECORDS MANAGEMENT 3.0

In 2009 I attended the RIM Professionals Australasia convention in Adelaide where we discussed amongst other things why RM had to show itself as a hierarchical structure? Why can't we manage our electronic records through metadata and get rid of the folder structure we are often constrained by.

In Washington in 2010, the world suddenly opened and I got very excited! I am probably biased, but looking at the new RM module I started to consider the options now available to me – fileplan or no fileplan, virtual folder structure or traditional, hierarchical fileplan, faceted metadata or one-dimensional metadata, or a combination of them all? Talking to the OpenText Product Manager it suddenly occurred to me that the perfect electronic document and records management system (EDRMS) we have been looking for, where users get a view that is relevant to them and RM runs happily in the background doing its thing is now absolutely achievable – it's being used as we speak!

There is a strategic business, but also very practical, reason why OpenText has changed the way records management is functionally delivered. Web 2.0 records do not lend themselves to living in a one-dimensional structure, when we manage our Web 2.0 records today, we force them into what is effectively a physical records management system, slightly tweaked to accept electronic records like the print and file mentality, download and zip etc, rather than being a system designed for records of all formats, but with a strong focus on the electronic. By opening up the management of records into a metadata-driven process (of which classification is its own set), the ability to set the rules and procedures in one place and then have that applied to the records you are using in your enterprise resource planning (ERP) system, your SharePoint site, your network file share, your email system, digital asset management system and more is now available.

For the vendor, it makes fiscal sense – more systems to integrate which means more markets etc etc. But for us it means that we can have one area to create and maintain our records management infrastructure and have that applied in all of our other business systems. If you haven't heard about Enterprise Library Services yet, I urge you to get online and do some research; for me, it's one of the best things I learnt in 2010. The opportunities I can see for us to embed RM into all business applications, but more importantly to have it running silently behind the scenes, is incredible.

RM protocols and rules should exist in any system that creates, uses and manages records, and yet we often focus solely on the EDRMS and our paper files and forget the transactional systems, the SharePoint sites, the digital asset systems, email systems and others. After all, they are already there and it's too hard to build systematic disposal processes into Oracle Financials or SAP – well, actually, it's not too hard. When an object is classified, it is linked to a series of disposal rules that are also applied through the Enterprise Library, so define the classification for your enterprise, link it to a disposal rule and then apply it to your content.

And that for me is another lesson learned. Enterprise Content Management (ECM) has become a buzzword in the technology field as a way for software vendors to differentiate their products – what was Application X EDRMS, is now Application X ECM. Wow what a difference! Actually not necessarily… ECM is a journey not a destination; it is not something you will typically do in one hit, you should be able to define your rules, implement a module, apply rules, add another module and so on, moving you from document management to RM, to email management (not email archiving!) to web experience management etc. What is effectively an EDRMS has been rebranded ECM as part of a wider marketing exercise. But true ECM is something we have preached for many years, it is content and context that matter – format is irrelevant to the core application.

Irrespective of where the 'content' (document/record/data) is held, it should be managed in a systematic, consistent and holistic program which may mean that we need to evolve the way we think – to move beyond compliance, we may need to move beyond records into content…

THE FUTURE OF RM?

The other area of interest for me at Content World was around the field of semantic analysis and semantic navigation.

I have for many years listened to the promises of auto classification and have been completely underwhelmed by the results and by the work required to make the tools somewhere near workable. But researchers in Canada have spent many years working on these tools and with the acquisition of NStein, OpenText now has this functionality plugged into its Enterprise Content Management Suite.

Now semantic analysis is not new, the application perhaps is more so. The tools allow you to move from suggesting metadata in profile forms to auto classification to scanning of document content and automatically routing the content to the appropriate person.

So, for example, I write a letter of complaint; the semantic tools auto-classify the document as correspondence, of type 'complaint', then scan the document to see just how angry the complainant is and, if they are really angry, immediately route that letter to a supervisor. No more manual handing off. We set the rules, the system applies them and life moves forward. From an RM perspective, the metadata and classification is automatically applied in the background, but perhaps more importantly from the user's perspective they get the right information for their roles at the appropriate time to enable them to hit their targets, and use their best skills in the right way for the customer – compliance and business improvement in one place.

The semantic navigation tools are also already available in many of the websites we see, allowing users an easier and more meaningful experience when visiting your website, yet we often don't put this same effort into our intranet, perhaps that is something for us to consider in 2011.

QUANTIFYING RM

How many discussions have we had on the listserv, in our groups or with friends about business cases – with the familiar refrain "Can someone please give me some hard numbers for my business case?". And how many of us have sat in front of senior managers and wished we had hard data instead of the "the world will be a great place" answers we are often forced to provide.

In the last 10 years I have asked, as many of you have, for real hard data from our vendor community – after all, who better to provide the hard statistical data, the financial rewards, cost savings, monetisation gained, the methodology and tools for identifying the return on investment we can expect for implementing these tools. Well guess what, they are now available!

OpenText's Value Engineering team have developed a series of analysis tools that allow you to quantify the cost of doing business today, and the potential cost savings with implementing the OpenText tools. Of course, there is the usual caveat – the return on investment 'after' calculation is unsurprisingly based on OpenText tools. The toolset is dynamic and built on a serious logic engine that makes my head hurt! But what it does provide is the ability to set your value drivers and your costs today, and to dynamically set your 'tolerances', to increase and decrease the dial on your current costs and see the numbers change. If you do, as I did, look at the cost-today calculation and balk, you may decide to 'turn down' your tolerance level but, as I did, you will probably still balk at the number! It is quite an experience to go through – a painless experience in many ways, but the final results will shock you.

I am incredibly pleased that these tools are now available, and if OpenText can do this, other vendors should be able to deliver this too, so talk to them, whether you are a current customer or a potential customer, any vendor should and must after 20+ years of delivering these solutions, be able to share with you the hard numbers around implementation and help you assess the cost of your current way of working. Far too often it is the 'as is' environment that is unquantified; we know it's inefficient, wasteful and costly, but we never quantify it – and yet we expect the future state to be quantified. As all good records managers know, context is king, and the current context is invaluable to any decision to improve processes, or buy new toys!

OUR CORE QUESTION: WHAT IS A RECORD?

And before you all tell me that it is 'evidence of business activity', let's remember that for most users that simple statement, that to us seems so logical, has no more use than a platitude. The detail that sits behind that statement is what keeps us busy, keeps us motivated and makes every day a delight in this profession. But for our users, it is the one statement that is the source of the greatest frustration with our profession.

If we truly want to see compliance, risk reduction, fiscal exploitation of information assets, productivity improvements and more, we need to provide our users and our profession with the detail behind this statement in a world that increasingly has no time for detailed explanations. In American politics it is the 30-word rule – in 30 words or less you not only make your point, but win your argument, and kill your opposition in one swoop. I challenge you all to do that with the basic question "What is a record?". We can make this a challenge for inForum 2011!

Continued on page 52

About the Author

PAULA J SMITH, ARMA is the Pre-Sales and Content Manager for Techtonics, an Information Management Consultancy based in New Zealand. Her current role is a varied one including analysis and testing of new products, development of product strategy, as well as designing and delivering training programs, business and requirements analysis, records management consultancy and a lot more besides. Paula holds a Masters Degree in Records Management from Northumbria University, is a professional member of RIM Professionals Australasia, and also serves as the New Zealand Branch President for RIM Professionals Australasia, something of which she is extremely proud.
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Professional development in 2010-11

Records managers across Australia and New Zealand attended 19 workshops as part of the RIM Professionals Australasia CPD program in the second half of 2010. The 2011 program is now available

RIM Professionals Australasia appreciates the assistance of members in promoting workshops to colleagues and other networks, which broadened the attendance base in 2010. We look forward to your support in 2011. Feedback has also been taken on board in the planning of future events, to improve all aspects of the workshops in terms of content, delivery and facilities.

Planning is underway for February to June 2011 in consultation with branches and presenters. Most courses have been posted on the RIM Professionals Australasia website under the calendar of events. The following list shows progress so far. All events are advertised directly to members, through newsletters and through the RIM Professionals Australasia (formerly RMAA) listserv and forums. If your capital city is not on the list, it means that the scheduled workshops for 2010-11 have already been held. Planning is also underway for the 2011-12 CPD program. iQ

FEBRUARY-JUNE 2011 CPD PROGRAM	
Perth	**9 February** – Practical strategies for managing risk in EDRMS (½ day AM) – Road to recovery: taking the first steps to disaster recovery (½ day PM)
Sydney	**17 February** – Change management techniques for records management (1 day) **23 March** – Practical strategies for managing risk in information management (½ day AM) **2 June** – Knowledge and information management principles (1 day)
Hobart	**3 March** – Practical strategies for managing risk in EDRMS (½ day AM) **3 March** – Road to recovery: taking the first steps to disaster recovery (½ day AM) **14 April** – Change management techniques for records management (subject to sufficient interest)
Melbourne	**2 March** – Practical strategies for managing risk in EDRMS (½ day AM) **31 March** – Change management techniques for records management (1 day)
Canberra	**24 March** – Change management techniques for records management (1 day)
Newcastle/ Hunter district	**23 March** – Road to recovery: taking the first steps to disaster recovery (½ day)
Auckland	**7 April** – Change management techniques (subject to sufficient interest) **9 June** – Practical strategies for managing risk in EDRMS (½ day) and Road to recovery: taking the first steps to disaster recovery (½ day)
Wellington	**8 June** – Practical strategies for managing risk in EDRMS (½ day) and Road to recovery: taking the first steps to disaster recovery (½ day)

• Any questions or queries about these workshops, please contact marian.hoy@rimpa.com.au

What skills are required of today's information professional?

The contemporary information services manager is a jack-of-all-trades. We take a look at the skills and knowledge that might appear on a 'typical' job description.

BY **LYNSEY HERRON**

IN THE JOB DESCRIPTION FOR INFORMATION MANAGER WITH THE US AIR FORCE, A KNOWLEDGE OF OFFICE COMMUNICATION AND ADMINISTRATIVE PROCEDURES ARE ESSENTIAL

Keywords

- Communicator
- Administrator
- Negotiator
- Trainer
- Policy and procedure writer
- Motivator
- Budget manager
- Marketer
- Electronic records manager
- Risk manager
- People manager
- Records manager

The working environment is changing rapidly, individuals have unprecedented control of the information and records they create in their day-to-day activities, as well as organising it in a way that suits the way they work with, and access, this information.[1] The job of finding a logical way to manage and control this information that will work across the organisation usually falls to an information manager, records manager or archivist. This paper looks at the skills and knowledge required by these individuals in order to perform the tasks they undertake across all sectors of industry, and at all levels of management.

This spectrum of jobs can be carried out by three individuals or all be dealt with by a singular employee, depending on the company. Regardless of this, the skills required to carry out the activities performed within these functions remain similar across all sectors.

Perhaps the most important skill is communication: any individual working within information services will be required to communicate extensively with a wide range of people. In the sample job description posted on the Chartered Institute of Library and Information Professionals (CILIP) website for an information manager, communication and presentation skills are listed as essential.[2] In the job description for information manager with the US Air Force, a knowledge of office communication and administrative procedures are considered essential before a candidate can even apply for this career path. [3]

In many cases, the success or failure of a records management program or information service rests upon the ability of the records manager or information manager to communicate the relevant information to all members of the organisation.[4] A successful information service worker should be comfortable speaking to every single member of an organisation from the chief executive to a filing clerk.

EXPERIENCE OF DELIVERING TRAINING IS AN ESSENTIAL REQUIREMENT IN THE JOB DESCRIPTION OF THE HEALTHLINK WORLDWIDE INFORMATION MANAGER

It is all very well having an exemplary set of information management policies and procedures, but if no-one knows about them due to a lack of communication, they will not fulfil their intended function, that is, to ensure effective records and information management across an organisation. To this end, I believe that it would also be beneficial for someone working in an information service to have some experience of delivering and/or developing training packages. This will ensure that the correct information is included in an organisational education program, formatted in a way that is easily understandable. At the beginning of an education program, having training delivered by the records manager or information manager enables them to see how the users are responding to the training and also monitor any issues raised directly to ensure their inclusion in training material. In fact, experience of delivering training is an essential requirement in the job description of the Healthlink Worldwide Information Manager.[5]

IN ADVERTISED VACANCIES AND JOB DESCRIPTIONS, ALMOST ALL DEMAND THAT CANDIDATES APPLYING FOR THE POST HAVE SOME EXPERIENCE OF BUDGETARY AND FINANCIAL MANAGEMENT

For most of the managers working in an information service capacity, the need to obtain funding will arise at some point. In the current economic climate, many organisations are looking to reduce costs[6] and unfortunately, information management functions can often be seen as expendable by those who do not understand exactly the benefits they deliver to an organisation.

When this is the case, the information manager will have to possess honed negotiation skills in order to secure the funding they require to maintain a records management program. Although hopefully, the media attention attracted by data losses should make this task somewhat easier, as organisations strive to ensure they do not fall foul of the Information Commissioner's office.

Once this budget is allocated, a further challenge arises for the manager, that of ensuring it is managed correctly. When looking at the essential skills required of either an information manager or records manager in advertised vacancies and job descriptions, almost all demand that candidates applying for the post have some experience of budgetary and financial management.[2]

THE INFORMATION MANAGER OR RECORDS MANAGER SHOULD BE ABLE TO IDENTIFY AND CONVEY THE RISKS ASSOCIATED WITH RETAINING SUPERFLUOUS INFORMATION AND DISPOSING OF THE WRONG INFORMATION AND THE REPERCUSSIONS

Also beneficial would be a high level of understanding of the way that their organisation in particular works and the kinds of records they produce and retain. They should also be aware of any industry specific legislations applying to their sector. An appreciation of standards and practices in use by other organisations would also be valuable to ensure that their own organisation is in line with industry-wide best practice.

All information service managers should acquire some knowledge of advances in techniques for managing information, for example, a records manager should familiarise themselves with the way the company electronic document records management system (EDRMS) works if one is in use. In the organisation I recently worked in, the role of records manager and EDRMS administrator are actually carried out by the same person, which works well as they have a high understanding of the subtleties involved in electronic records management and so can accurately advise users of the best way to manage their own data within the system.

As rapidly advancing technology enters the workplace, information service managers ought to keep abreast of the way the newest technology will affect the information they are the custodians of, for example the popularity of blogs has posed a puzzle to some records managers, how would one go about managing this in the long term as opposed to a paper copy of memoirs or a diary? Only by being aware that change is coming could prepare you to address this issue, so anyone working within this profession should continuously familiarise themselves with current professional issues. This could be achieved by joining one of the societies available, such as the Society of Archivists, the Information and Records Management Society or CILIP, these organisations run conferences regularly and getting the most out of one of these is a skill in itself, as the hectic schedule and sheer number of attendees can be daunting!

Often, an organisation will have some policies and procedures in place regarding the management of information and records, but they can be overlooked in the face of more prominent ones. In my previous organisation, there were enough policies and procedures in place to have allowed the achievement of ISO 9001. However, management buy-in was low while a staff survey revealed that many employees were not even aware of their existence!

INFORMATION SERVICE MANAGERS OUGHT TO KEEP ABREAST OF THE WAY THE NEWEST TECHNOLOGY WILL AFFECT THE INFORMATION THEY ARE THE CUSTODIANS OF

In order to remedy, or preferably prevent this from occurring, an information manager or records manager should have knowledge and skills in both writing and enforcing policies and procedures within an organisation.[2] Although in some cases the individual may not be high enough in the management chain to enforce the policies themselves, they should have the ability to build and maintain the support of higher level management to ensure the functions of information and records management remain firmly on the organisation's agenda; as well as ensuring that working practices across the organisation include and support information and records management. This will often take a great deal of tact and diplomacy on the part of the information professional.

Although an information professional would not necessarily carry out the function of risk management within an organisation, they should have an understanding of how this function is carried out and how their role interacts with this. Risk management is defined as "a systematic process of identifying, analysing and responding to [project] risk".[7] The functions of document, information and records management obviously falls within an area of risk. The information manager or records manager should be able to identify and convey the risks associated with retaining superfluous information, disposing of the wrong information or the repercussions for the organisation and any stakeholders of a data loss or security breach.

AS WELL AS BEING ABLE TO MARKET A PROJECT, IT WOULD ALSO HELP TO HAVE SOME KNOWLEDGE OF PROJECT MANAGEMENT

In all areas of information services, marketing and public relations skills will always be an advantage. In the case of the information manager or records manager the ability to market a records management programme within their organisation is vital, whether they do this themselves, or engage with a marketing department. If a project such as this is not well marketed and publicised in the organisation, the uptake will be low and the project could fail.

As well as being able to market a project within the organisation, it would also help the records manager or the information manager if they had some knowledge of project management[2] although again they should not necessarily carry out these duties themselves.

In an ideal world, in addition to all the skills and experience already listed, an information manager, records manager or archivist should also have people management skills[2], as it is likely they will have a team reporting to them. The skill of managing people is a difficult one to learn but is one of the most essential ones for a manager to possess. If the information service manager cannot manage their team, the outcome could be an increase in employee stress and a decrease in service delivery.[8]

As well as being able to manage and lead their own team, an information professional should be able to motivate employees at all levels of an organisation. A keen interest in their subject matter and a belief in what they do would assist in building motivational and leadership skills.

Many advertised vacancies for careers within the information service state that a qualification in the relevant field is desired, but interestingly, not always essential. Perhaps this is because the wide range of skills and knowledge required to work in this sector would be virtually impossible to include on a single university course, and even if they were, the reality of practising something like project management or presenting to the board and learning about it are vastly different. So perhaps a professional qualification is essential to provide a foot in the door and to understand the basic concepts involved, but the majority of the skills and knowledge required would be built up via on-the-job experience.

So, based on the wide range of skills and knowledge needed to work in this sector, the ideal information service professional would be a "jack of all trades" having had a broad range of experience in different management roles. They should be flexible and adaptable to the changing needs of their organisation and have the ability to juggle a diverse range of tasks on a daily basis. I believe this is why people often come into information services later in their careers and from a wide range of backgrounds. I have so far met an information manager who started off as a geologist and a records manager who studied biology, but maybe because of this, they all have a passion and understanding for their role that enables them to carry out their duties with dedication – and above all a sense of humour. iQ

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Preserving digital records

Defining solutions for preserving digital archives provides a complex, inter-related set of challenges. Here is an overview of the main reasons for the accumulated delay in the last decade in implementing easy, economical and convincing solutions for preserving digital records.

BY **PROFESSOR MARIELLA GUERCIO**

In spite of the huge amount of high quality literature and research efforts dedicated to the preservation in the electronic records environment, we have obtained limited and not satisfactory results in the application processes and in identifying effective, convincing and easy-to-use solutions. I will investigate the multiple reasons for what could be called, and Adrian Cunningham did call, "a bottomless pit" by reflecting on the main projects, good ideas and best practices accumulated in the last 15 years.

I would also like to explore some recent promising developments for a positive evolution and/or resolution of this long incubation. Of course, with reference to the previous centuries of experience and solutions matured in the archival traditional world, 15 years could be considered a very short period of time for finalising infrastructures and tools, but not in the digital environment where the time for memory is short and preservation has to be planned as early as possible at the records creation stage.

On this aspect, we could also agree with London digital assets consultant Neil Beagrie who in a recent interview has outlined that "although the challenges of digital preservation were recognised early on, […] some institutions have needed to acquire or create a significant amount of digital content before feeling that they can or should concentrate more resources on digital preservation. Since the threat is not solely technological, progress is a slower process: it can also involve social factors and organisational risks particularly over extended periods of time".

Story Snapshot

- What is behind the lack of efficient results in defining solutions for preserving digital archives?
- What are some of the best projects, ideas and practice in the area over the last 15 years?

LIMITS IN THE RESEARCH DOMAIN

First of all, I would emphasise some apparently obvious but central aspects, too often underestimated by our community, in the research domain. A fruitful analysis, specifically if related to new and uncertain environments, has to be developed within its own domain and focused on results achieved in its specific area of interest – that is, digital archives and records.

Digital preservation is a generic term. It has to be specified in the research and implementation environments not only from the technological point of view with reference to formats, metadata for preservation, media and storage devices and so on. With reference to the archival digital fonts also it requires a well-defined, specialised conceptual dimension and dedicated professional profiles.

The lack of awareness for the need of dedicated domain research initiatives and for the relevance of the archival identity for building cross-discipline developments is at the basis of the lack, or at least of the delay, in implementation plans in our sector and of the low degree of successful achievements in providing efficient tools in this sector.

The conceptual framework, the principles and the methods for preservation already developed more than 10 years ago by the InterPARES and Pittsburgh projects, and also thanks to the OAIS model, can be considered nowadays common achievements for all the relevant initiatives in the field.

The real complexity they have underlined, however, is still underestimated and the existing numerous experiences have not yet transformed the well-defined methodological questions into good and detailed answers.

Of course, the cooperation among institutions and professions is also a basic requirement. It provides the melding of ideas and experiences; the only fruitful dimension for building new knowledge. But it also requires time and continuity, trustworthy networks for exchanging ideas and results on the basis of common criteria for analysis, evaluation and, of course, adequate funds to support enduring programmes, not just *intermittent*, single projects.

For instance, the European Union policy, but also United Kingdom initiatives dedicated to fund research in this area, would not be in a position to provide persistent crucial results in short time if the networks for excellence *are – have to be – cross-domains* and the reference environment and model are fundamentally based on digital library systems.

WEAKNESS OF GLOBAL GROUPS

The weakness of the dedicated international bodies is part of the present fragility. The international networks of archivists and record managers are not strong enough, even less than in the past, to create the required consensus. ICA, ARMA, and the ISO sub-committee 11 within the Technical Committee 46, that is the working group with responsibility for developing standards, guidelines and recommendations for records and archival creation, keeping and preservation, seem to pay too much attention to revisiting contents and standards approved years ago or re-phrasing them for different audience

It is not surprising, therefore, that we hear critical comments from stakeholders as they wait for directives and guidelines that are closer to the practitioners' and creators' needs. Indications and proposals from records managers and archivists listserv are very clear on this issue[1]. Apart from ISO 14721-OAIS and ISO 15489-Record Management, how many standards and recommendations can we remember in the last years with a similar capacity to innovate radically, increase the quality of the records creation and sustain their persistency?

Is this difficulty related to the lack of experience or due to financial constraints? Is it related to the strong reduction of the systematic work of comparison and confrontation of ideas, methods and tools which, 10 to 15 years ago, gave us the capacity to create bridges among different traditions and develop open strategies for the challenges our community was starting to face?

The exclusive technological focus of the national legislators, in Europe in particular, clearly testifies to the increasing degree of fragmentation and inefficiency in this area. The focus comes from legislators who pay attention only to the technological mechanisms.

Legislations, promoted and approved without the support of the experts for recordness, have focused exclusively on bits preservation and have contributed to the present confusion instead of ensuring the incubation of comparable best practices and fruitful experiences. Legislators have rarely understood all the implications of the principles of authenticity and integrity and have reduced the solutions to a large use of digital signatures and timestamps. Fundamentally, they have handed the maintenance of our memory to a sort of interrupted chain of technological controls and devices, while the main question is, not so different from the past, the capacity to build new and sustainable forms into an uninterrupted chain of verifiable responsibilities and trustworthy custodians.

The need to have "digital preservation and long-term access as part of the wider public agenda and on the political radar" is crucial but, as Neil Beagrie recently stressed: "Retaining and increasing that attention needs constant advocacy and effort."

The training and educational systems for information managers have to be reinforced. It is necessary to:

- strengthen our basic knowledge
- develop new capacities to exploit the potentiality implied in the digital records and ensure the control of new organisational and technological environments, and
- innovate and strengthen traditional and new professional alliances.

“WE NEED TO BE AWARE OF THE NEED FOR NEW PARADIGMS BASED ON GOOD PRINCIPLES AND TO BE OPEN TO CREATIVE APPROACHES TO THE DIGITAL CHALLENGES”

To convince top managers, legislators and policy makers to change the direction of their efforts and their investments, new alliances are required with, for instance, the experts of digital forensics.

We need to be aware of the need for new paradigms based on good principles and to be open to creative approaches to the digital challenges. Of course, the suppliers – the outsourcers of digital storage more than the software suppliers – also have to be involved in this common effort.

My experience is that this is not an impossible task. They are more and more aware of the weaknesses and failure, and the increasing costs and complexity of the existing technological solutions and of the high risks involved in failing long-term preservation.

But to get these results, to innovate and strengthen traditional and new alliances, information management professionals require more specific training, to be able to conjugate robust conceptual frameworks and greater flexibility.

BLINDNESS AND IGNORANCE

The market in the field currently brings together blindness with ignorance. It has to be recognised that it is not an easy task to *sell* digital preservation to the public or to the traditional stakeholders like public administrations involved in e-government projects.

As recently commented by Victoria McCargar, archivist at Mount St. Mary’s College and lecturer at the School of Library & Information Science of San Jose State University: “The problem is that when it comes to digital preservation, it’s often the same people talking to each other. You get that problem in any insular research space.”

Meanwhile digital heritage is at high risk, firstly from a lack of technical capacity in dealing with the new digital records forms. Secondly, there are the unnecessary costs of focussing on wrong mechanisms like cryptographic techniques, digital signatures and time stamps. Thirdly, we are trusting beyond their real capacity and self-reliability old and new solutions like back-up and outsourced storage systems or cloud computing.

Strategies aimed at minimising the costs are generally more expensive and less efficient if pursued without expert support and control. The consequences on the capacity of preserving the present and future digital assets could be serious and unrecoverable. Additionally, they are not easy to evaluate in advance.

WHAT CAN BE DONE, THEN?

The role of the public service is crucial both as an archival service for e-government initiatives and as support for public-private partnership. Today, the public sector is being asked for action in this area with much more energy and capacity than in the past. Specifically, it is often required to carry out direct responsibility for preservation. The situation today is complex and provides more than one solution.

Because there is no avenue to collect best practices under development or being tested in the field, examples of multiple-dimension processes are not easy to find and therefore normally impossible to compare. But, we have some examples of what is promising in the field:

- Austria’s HOPPLA[2] project aimed at giving advice to small institutions and the private sector for archiving digital materials at risk.
- The UK’s PARADIGM project, which is able to provide a pragmatic directive and basic recommendations for personal records to be preserved permanently.[3]
- The well-known (but still innovative) US ERA[4] project for recovering and preserving the electronic records of government agencies.
- Italian Digital Archival Poles or Centres (*Poli Archivistici Digitali*), already developed in two regions (Florence and Bologna) to ensure advanced and inexpensive services, repositories and consultancies, for preserving e-government records and archival digital data for any local public institutions such as municipalities and hospitals.[5]
- The DCAPE (Distributed Custodial Archival Preservation Environment) project, recently presented at the Annual Meeting of Council of State Archives, the NAGARA (National Association of Government Archivists and Records Administrators) and Society of American Archivists, whose purpose is the creation of a preservation environment for archival repositories based on policies that are defined by archival staff.[6]

All these experiences should provide – and this is more than a hope – not only a repository to guarantee the survival for an enormous at-risk archival heritage, but also a critical mass of documentary resources and case studies (not necessarily positively solved) on which to build the basis for future knowledge.

In the country of the records continuum, the crucial role of a qualified digital recordkeeping service is a common achievement and does not need to be further stressed, but it is important to say that this requirement is increasingly considered for its relevance everywhere.

ROLE OF METADATA

I have only one comment, relevant for the preservation issue, on the role of metadata. It is not only a question of metadata, but we need a huge amount of well-structured information acquired as soon as possible with the minimum effort by independent third-party organisations.

I do not want to re-open the debate that, 10 years ago, opposed the life-cycle model in deference to the records continuum on the role of metadata, specifically on their completeness and sufficiency. Technological innovation is already able to provide tools and theories to support the need for composing both the perspectives on the basis of the specific contexts involved and the specific nature of records and data.

But it has still to be better understood why digital preservation cannot be solved by the automatic accumulation of metadata

About the Author

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and why the life-cycle model needs a significant improvement in collecting automatically attributes, information elements and metadata for building a sustainable preservation system.

At the same time, we have to agree that in the course of the next decade, tools for automating huge amounts of data and their descriptive and management attributes will have to be and presumably will be robust enough to sustain e-discovery and efficient enough to manage all the relevant technological information required for preservation, but also to correctly interpret the sources.[6]

This is one crucial question for any kind of preservation model, both for the life-cycle and for the business model. It is testified by the effort dedicated to this issue in many programs, such as in the US ERA's acquisition of digital archives and in the US DCAPE Project for archival repositories based on policies defined by archival staff.[7] It is also demonstrated in the Australasian Digital Recordkeeping Initiative (ADRI), specifically based on the DIRKS Manual.

Even if I do not agree completely that recordkeeping metadata will, at the same time, be the reason for the archival vocation and the self-inclusive solution for long-term preservation of digital records, the opinion of the Australasian community is absolutely convincing that recordkeeping metadata, as event oriented, are "infinitely more complex" and, for this aspect, more complete and efficient than "resource discovery metadata and preservation metadata".

A PROMISING INITIATIVE

The movement for the implementation of criteria for trusted custody recognising third neutral parties and its accreditation is one of the best ideas of the last years. It may not be not so innovative, because all the memory institutions could, overtime, be considered trusted custodians. But it is able to play a strong role in convincing funding bodies and users.

In recent years many working groups have developed specific criteria and parameters for self-auditing and for building a verification/accreditation service. The outputs are consistent even if concrete experiences are not yet in place for the whole accreditation system but many questions are still unsolved.

To answer them, and this is my personal, fixed idea, national and international initiatives of the archival sector have to be reinforced. The need for an inclusive picture on key challenges based on an integrated and comprehensive cooperation cannot be postponed any longer.

Many National Archives have developed initiatives for long-term digital preservation even if the isolation is still and, as mentioned, more than in the past, a problem in spite of the relevant resources and initiatives dedicated for each of them. As many experts have outlined, there is a need to support these efforts and align them at international level but also at stakeholder level with reference to "frameworks for governance, funding and interests which are still largely national".[9]

The weakness in the international cooperation, the risks for the projects sustainability and for transforming the advanced results into permanent and efficient services are part of the open questions to yet be solved.

As mentioned, for the moment the ICA and other international organisations (ISO included) do not seem to be able to face the key challenges specifically with reference to the required concrete effort for developing and testing technical guides and tools, for comparing and making available existing experience and solutions, for creating environments for test beds and case studies analysis.

It is not only and mainly a question of financial resources, but rather of the capacity to combine in a common view a convincing conceptual framework and the most crucial technological, technical (in the sense of archival) and organisational issues.

The solution is not yet at hand and, this is my view, cannot be found in any near future without a strong cooperation among all the stakeholders and without increasing the common awareness of the involved complexities. Case studies discussed through a correct terminology and a robust and consistent conceptual framework could be the basis for building new knowledge in the field and improving international cooperation.

With Neil Beagrie (again), I would like to conclude that "we have learned that digital preservation is a complex, inter-related set of challenges: not just technical but often involving new business models and legislation, new or changed organisations and collaborations". These are time-consuming and difficult changes that need dialogue and 'action research' to move them forward. Hence any major advances take a lot of groundwork and time to reach fruition. iQ

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3 http://www.bodley.ox.ac.uk/dept/scwmss/modpol/paradigm.html.

4 The ERA project is one of the most large and ambitious in the environment of digital preservation. For a better understanding of the main results see the training materials provided on the website: http://www.archives.gov/era/training/elearning.html and with specific reference to the transfer http://www.archives.gov/era/training/transferring-electronic-records.html.

5 M. Guercio, *Requisiti per la costituzione di "depositi digitali*, in *Conservare il digitale. Macerata, 7-8 maggio 2009*, Macerata 2010.

6 DCAPE (Distributed Custodial Archival Preservation Environment) project, http://salt.unc.edu/dcape.

7 As Jason Baron has recently reminded, "we have to move on beyond 'everyone being their own recordkeeper' and 'searcher' to more automated and sophisticated ways to tackle the growing problem of ESI volume"(ibidem).

8 The project has been recently presented at the Annual Meeting of Council on Archives, the NAGARA and SAA on August 14. See the project website http://salt.unc.edu/dcape.

9 http://www.richardpoynder.co.uk/Beagrie.pdf.

Branding – hot or not?

Last issue, we looked at marketing RIM and how provoking excitement for information can give you an operational advantage – here we go one step further and look at how branding your RIM service can make it more approachable and appealing.

BY **ANGELA SUMMERS**

The mere sound of the word 'branding' brings back various childhood memories and I can say, there's nothing too pleasant about seeing a cattle brand, hot or freeze-dried, being waived in your direction by a maniacal sibling or 'friend'. But what an impact… and to cut to the chase, isn't that what we want from a brand – not to be forgotten, to be memorable?

I suspect that if we all close our eyes for a moment, and I throw out some words, each one of us will come up with a list of either verbally-recognised or picture-associated recall of brands that we find memorable. For records and information management (RIM), should it be any different? I wrote last edition about the perception of RIM and how it's time to change the playing field a little and give our colleagues an injection (hi-octane if you remember my article) to embrace RIM and leverage the opportunity it brings to position any business with an operational advantage if used to its potential.

But that's just words and activity – it's the whole package that we need to put together. Other than a lovely picture of my car

Story Snapshot

- Consider the brands that make you feel good, and why.
- In positioning a brand, it helps to create something memorable and powerful.
- Make it visible and fun!

[a white, 6.2l, 325kW V8 Holden GTS – see Ange and her 'baby' below], where's the memory or the standout brand? Just as important as marketing your service is to brand it as you would want it to be remembered. In RIM, like most other services, we need to be creative, memorable and powerful. How you do that is dependent on your audience and, of course, what you want to achieve.

CREATING THE BRAND

I was interested in the pieces of the puzzle coming together, positioning my service as 'Helping you…' and making it all a little fun at the same time. My brand fitted my audience – they were all a little puzzled as to what RIM could do for them. I knew there were endless parts to the puzzle and I needed everyone's help to bring the pieces together.

To this end, RIMe was born (see the brand logo below) – a somewhat subliminal namesake, picture and message (I shall not go down without using every tool in the trade box!).

For my team (we are a specialised support unit), we positioned and rebranded ourselves to give a more positive reflection on our daily role in Compliance as 'Helping you…' but I needed to create a consistent and differential point when targeting my specific requirements while supporting the overall theme.

RIMe came along pretty early in my strategy formulation – I think my director may have wondered what she had got herself in for as it was only four weeks after I started at JJM. I needed to create a consistent RIM brand that would appear on all my paraphernalia, presentations and communications including the forthcoming intranet site (now complete). If nothing else, at such an early stage on my journey at JJM, I wanted to create an association between the picture and the RIM team. The fact that it is gold will help me as I 'game up' and create some participant fun times – 'go for gold' or 'get cleaning up and find that illustrious piece of record gold' – oh the opportunities are endless, but I digress!

As for the title, RIM – well that's obvious but the 'e' is something of a double whammy – RIM 'e' is about 'Me' as in what's in it for me (again with the 'helping you' theme) and RIM 'e' an ode to the environment that we see ourselves operating in more and more.

About the Author

ANGELA SUMMERS has extensive experience in local and international, and private and public industry. In her current role as Manager, Records & Information Management (A /NZ), for Johnson & Johnson Medical, Angela is responsible for developing and implementing an integrated Records and Information Management (RIM) strategy for the company in Australia and New Zealand.

Left: Ange and her hi-octane rumbling white 6.2l, 325kW V8 Holden GTS

"IN RIM, LIKE MOST OTHER SERVICES, WE NEED TO BE CREATIVE, MEMORABLE AND POWERFUL"

SO NOW WHAT...

I have a brand – bringing it all together for me; I have a position (hi-octane or at least enthusiastic) but there is so much more to a brand than colour and creativity.

Let's step away from RIM for a moment and think of those brands that make us feel proud or provide us with a level of trust. I am extremely proud to be an employee of a family of companies that are represented by the Johnson & Johnson brand.

I don't need to go through our brands or products for you – I think you could immediately name a few – but the brand gives me an emotional hug of trustworthiness, community well-being, credibility and ethical standards – and that was before I was an employee. The name, or the brand, was my employer of choice, and thankfully I was an employee of their choice!

Now that's what I want from my brand – all the things that I felt when I first associated J&J with me – imagine as I head into my meetings participants immediately seeing my brand and thinking – this girl I trust; she understands me; she's going to help me; she knows what she's talking about; being here is my choice; and, she's going to do it right, by me and my team every time. Music to my ears – and to be honest, the level of feedback I get from my colleagues only solidifies that doing things a little differently and going after the marketing, branding and positioning of my service, is paying off. Ok, so maybe they don't really want to be in my RIM sessions every time, but I'm working on that **grin**.

The alternative is just not an option – how hard would it be to promote your service if you had to operate with negative views of your brand. Just look around at recent events splashed over the media on current affairs shows. I feel for any of the major bank employees – I can only imagine how tough they are doing it given recent poor publicity.

FLASHY BUT CREDIBLE – IS IT POSSIBLE...?

Herein lies an important message to us all – no matter how creative or colourful your brand, the majority of people – and that includes our customers (in my case, this is my colleagues but for you it could be the companies you consult to) – remember the negative far longer than the positive, so avoid that situation wherever possible. If you do find your brand in an adverse situation, create an opportunity to provide a better shared-experience with your customer – you will find that you are still able to give your brand credibility by managing yourself well through an adverse or undesirable situation.

This is where trust, community, credibility and ethical operating become so very important to you and your RIM brand. I can deliver the most enthusiastic, well-positioned, creative and colourfully branded RIM program to my colleagues but at the end of the day, I need to ensure that I achieve my goals – a long-term, comprehensive, integrated, sustainable yet dynamic RIM program that gives my colleagues the tools and operational advantage that I know I can provide. All of us have ability in RIM or we would not be in the positions that we are. However I am just repackaging to make our service more approachable and appealing; it does not mean that the fundamentals have to change – just our approach.

Creating the building blocks for my brand over the last 12 months and marketing it to my colleagues has been a fantastic journey. I am continually humbled by the people I work with and the lives they improve through their work in our communities. So it has been very rewarding to receive from them a level of engagement, and yes at times actual enthusiasm, for what is for most perceived as boring. To this end, I can only look at where we started with the pieces of our puzzle in very different locations – and how we are now bringing it all together. So onto the next phase of my program – and making it all very visible and fun.

Oh – and in closing, you will be pleased to note, I out-ran the cattle brand, just not the RIM bug. iQ

The Road to RIO

When Moreton Bay Regional Council was formed two years ago amalgamating three regional councils, a records management standardisation project was undertaken to merge the systems of each council into a cohesive whole.

BY **ANGIE GARNETT,** ARMA

Story Snapshot

- When the councils amalgamated, an evaluation of the existing EDRMS, BCS and records management processes took place.
- A standardisation project commenced to manage the merger of the processes.
- It was as much about change management as it was about records management.

Moreton Bay Regional Council in Queensland (MBRC) was formed in March 2008 following the amalgamation of the former Caboolture, Pine Rivers and Redcliffe councils. It provides services for more than 371,000 residents – projected to be over 515,000 by 2031 – in a region covering 2,037 sq km. With over 2,000 staff, it is the third largest local government authority in Australia.

Immediately following amalgamation a number of corporate systems including the Electronic Document and Records Management System (EDRMS) required consolidation. Other records management issues were apparent. Each former council had separately approved Strategic Recordkeeping Implementation Plans (SRIP) and Operational Recordkeeping Implementation Plans (ORIP)[1]. Each had a different Business Classification Scheme (BCS). Queensland State Archives requires that recordkeeping tools such as the BCS should be reviewed to reflect the current functions and activities of a merged agency[2].

Each former council used three separate and different EDRMS: TRIM®, DataWorks® and Objective®. Staff were unable to collaborate on documents in these systems across the three districts of the region. In addition, each EDRMS integrated differently with various core business applications, including the Land Information Systems and MS Office applications.

In July 2008, external consultants were engaged by Council to evaluate the existing EDRMS, BCS and records management processes.

LEGISLATIVE CONSIDERATIONS

Council was mindful of the fact that public authorities must comply with legal, administrative, cultural and business recordkeeping requirements through reliable recordkeeping systems to ensure that full and accurate records of Government business is adequately documented, preserved and made accessible[3].

The implementation of a single EDRMS would enable Council to achieve many of the legislative requirements for electronic recordkeeping[4]. It would also assist Council in meeting the obligations of Information Standard 40 – Recordkeeping – Principle 6, which requires that records must be created, maintained and managed systematically[5].

The review of records management policies, EDRMS guidelines and the establishment of an ongoing training program for MBRC would assist staff in their use of the records management system, as well as educating them in their shared responsibilities for the management of public records.

PROJECT SCOPE

A project was established to consolidate the EDRMS, along with the integrations and interfaces across the MBRC computer network.

The Records Management Standardisation Project was driven by a range of factors, including the need to improve efficiency, administration and communication across three district offices, improved customer service, improved records capture, as well as compliance with standards and legislation.

In September 2008, the Records Management Standardisation Project Team was appointed, along with an Advisory Group (consisting of 20 business stakeholders). The Advisory Group, an external consultant and other business stakeholders contributed to the development of the EDRMS Consolidation Tender Specification.

The Project Team, assisted by external consultants, commenced a SWOT[6] analysis to develop a new SRIP and ORIP. Analysis of the three different BCS in consultation with business stakeholders and a review of best practice recordkeeping models was also underway.

The project goals included:

- provision of secure and systematic management of unstructured or semi-structured data (eg. email and network drive information)
- reduction in redundancy and duplication of information
- provision of consistent document creation through templates
- integration with Council's Land Information System (LIS)
- migration of selected data from redundant EDRMS and LIS
- reduction of reliance on hardcopy documents
- increased document security, thereby reducing the risk of unauthorised access
- ability to discover and re-use corporate information
- provision of document collaboration
- provision of document version control
- improvement in the timeliness of records capture and distribution
- alignment of document retention periods with an authorised Disposal Schedule

- improvement to business processes, through the use of electronic workflow and approvals, and
- increased response time for information requests through full text searching of documents and email.

A review of other EDRMS projects revealed slow or limited uptake following implementation. Many agencies reported that staff often resisted change and continued to store documents outside the 'corporate records repository' when allowed.

Council made a decision very early in the project that the removal of unstructured data in our large organisation was essential. Network drives were to be closed (unless essential to run applications or integrate with corporate databases) and all documents would be saved in the EDRMS. Staff would be given a 'private' area within the EDRMS for keeping a limited amount of non-corporate records. Consequently, training in the use of the EDRMS became mandatory and included an induction for staff outlining their records management responsibilities.

It was soon recognised that our project was as much about change management as it was about records management.

WHY RIO?

As the Project Team commenced work well before a vendor or product was selected, it was thought that having a project name would not only give the project an identity, it would provide the ability to promote our activities, encourage stakeholder involvement and create anticipation.

As time was of the essence, only members of the project team and Advisory Group were asked to contribute suggestions. The acronym, RIO (Rapid Information Organiser), was selected, though its meaning seemed to become irrelevant as the project progressed and the name caught on.

Council's media and marketing staff assisted with the development of a RIO logo, which adorned posters, news updates and screensavers.

RIO RAPID INFORMATION ORGANISER

WIIFM – WHAT'S IN IT FOR ME?

The Records Management Standardisation Project included significant stakeholder involvement. Communication was ultimately the key to our success. Meeting face to face with staff and explaining how their work practices would change and improve had a positive impact on the organisation.

Promotion of RIO commenced with project team members attending departmental meetings at all levels throughout the organisation. A list of frequently asked questions (FAQs) was placed on the Intranet. Project updates were included on the RIO Home Page and in Council's weekly eBulletin.

The role of 'RIO Champion' was created to…

- assist with the development of the file plan (BCS)
- assist with user acceptance testing (UAT)
- provide post-training support for staff
- troubleshoot problems encountered
- provide feedback to training coordinators about possible workshops and extension training
- provide support for new starters after induction training, especially department specific procedures
- provide enhancement suggestions to the system administration team
- provide assistance with initial end user training.

RIO Champions were nominated by each departmental manager, providing a total of 100 organisational representatives who were tasked with driving the RIO message forward throughout the organisation.

Every council department was also consulted regarding the development of the MBRC File Plan (BCS).

Initial surveys of existing EDRMS users at Council indicated a lack of understanding of taxonomy, keyword thesaurus and other terms relevant to records management classification schemes. Many staff admitted they were unwilling to use an EDRMS, as it made filing their documents a complex and time-consuming process.

Over 80 staff (including some of the RIO Champions) collaborated with records management staff to develop the MBRC File Plan. The result was the implementation of a four-level file plan that was a hybrid of Keyword for Councils[7] and a subject-based classification scheme. While it may seem to fly in the face of convention, the MBRC File Plan has had a much higher level of acceptance and understanding than any of the previous file plans used by the three former councils.

It is important to note that Council's senior executive contributed both strong support and leadership very early in the project timeline. Accordingly, we ensured they were regularly informed of progress.

PROJECT TIMELINE

Earlier evaluation of our EDRMS had revealed that any of the three existing systems would be quite capable of meeting our current and ongoing requirements. It was further determined that an open tender would require a much longer selection process. So, in January 2009, Council opted to advertise a 'closed tender' to our three existing EDRMS vendors. Tenders closed in February 2009, followed by business/technical presentations by each vendor and tender evaluation. A recommendation was made to Council in May 2009, with Objective® being the selected EDRMS.

In June 2009, the Project Team developed a Change Management Strategy in consultation with our Human Resources Department. In July 2009, the team began the implementation of a Communication Strategy, with the assistance of our media and marketing staff. Shortly after, the vendor's project team joined us to commence the EDRMS High Level Design.

The development of the MBRC File Plan commenced in September 2009. Council used the One2One® (121) software[8] to create its 47,000+ term file plan. This software enabled the publication of the draft file plan in html (web page) format, making it easy to email links to each department, for review. The software also included functionality to import file structures directly from a network drive. This allowed departments the freedom to develop and amend their file plans independently, prior to them being integrated in the final version. As the product has an integration to Objective® it was also used to upload our retention and disposal schedules, as well as the final MBRC File Plan to the EDRMS.

In October, work commenced on the EDRMS Detailed Design and System Architecture Design – after which, the Project Team had a go-live date of April 2010 to work towards.

In December 2009 the three instances of our Land Information System were consolidated. From this point forward, integration between the LIS and existing EDRMS was disconnected. Documents added to the new LIS instance would later be migrated to the new EDRMS and integration re-established.

In January 2010, work commenced on the migration of the existing EDRMS data. We were forced to move some portions of this data immediately upon implementation, as it was impractical to have two versions of the vendor's software in operation at the same time.

We had previewed the new EDRMS to our RIO Champions in September 2009 and in February 2010, we rolled out the RIO Road Show. The Advisory Group and RIO Champions had been actively and positively promoting our project and even screensavers across our organisation were heralding the arrival of RIO. By this time, curiosity was at an all time high, so we invited staff to 'roll up' and…

- get a sneak preview of Council's EDRMS
- marvel at the integrations
- be dazzled by the drag and drop features, and
- wonder at the easy-to-use search facilities.

We ran three 1½ hour sessions daily over three days, no bookings required. It was standing room only! We literally had people sitting on the carpet and spilling into the hallways. There was no doubting staff were interested in knowing what their 'new world' was going to look like.

> “THE FIRST FEW MONTHS FOLLOWING GO-LIVE SAW AN AVERAGE OF 2,500 REQUESTS PER MONTH. THIS HAS REDUCED TO AN AVERAGE OF 500 CALLS PER MONTH.”

In March 2010, 10 external trainers were employed and Council’s training analyst commenced the gruelling training schedule. First the external trainers were educated in the use of the new EDRMS, followed by a small group of RIO Champions who were to assist with the user acceptance testing (UAT).

UAT was conducted and several issues became apparent. Council’s standard operating environment (SOE) was less than standard. The amalgamation placed us in the unfortunate situation of having several SOEs, including Citrix® and this resulted in a number of windows socialisation problems. There was a lack of understanding by some participants regarding the purpose of UAT. Many considered the UAT scripts to be a test of their own abilities and felt pressured or unnecessarily concerned by the process. If given a second chance (and more resources), we would have provided more support to UAT participants during the testing.

Most of the SOE issues were resolved and workarounds were implemented, however some problems continued to plague the project right up to implementation.

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[2] Queensland State Archives Public Records Brief – April 2008 – Machinery of Government Changes and the Management of Public Records.

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[5] Information Standard 40 – Recordkeeping – Principle 6 – Recordkeeping must be systematic and comprehensive.

[6] SWOT – Strengths, Weaknesses, Opportunities, Threats [Analysis for organisations] – Acronyms, Initialism & Abbreviations Dictionary-The Gale Group, Inc.

[7] Keyword for Councils is a thesaurus designed and licensed by the State Records Authority of New South Wales for use in classifying, titling and indexing all council records in all technological environments. It covers terminology common to business functions and activities undertaken by all councils, and records created or received by all councils in the course of its business.

[8] One2One® (121) is licensed by Active Classification Solutions.

[9] Unitywater is one of three new water supply and sewerage service businesses being established in response to the State Government’s South East Queensland (SEQ) Water Reform agenda.

THE BIG BANG

At the beginning of April, the remaining RIO Champions were trained, followed by the former Redcliffe EDRMS users. The former Redcliffe EDRMS was migrated and MBRC ‘went to RIO’ on 19 April 2010. It was dubbed the ‘rolling Big Bang’.

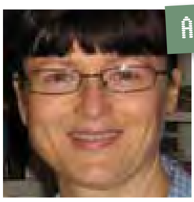
Council then began five weeks of end user training. As each user attended RIO training, their access in the old EDRMS was reverted to ‘read only’ and their login was activated in RIO. We conducted ten, four-hour sessions each day. Following each training session, the trainer would accompany participants back to their workplace and run through a checklist to ensure staff were able to login and felt confident to use RIO. Users were provided with RIO Quick Reference Guides and Toblerone® Tips. In total, 1,684 staff were initially trained in the use of the new EDRMS. They now collaborate on documents electronically across 16 administrative and remote sites.

An in-house developed Training Booking System (TBS) was a huge help. It enabled the RIO Champions to book their staff in for RIO Training and as each session was booked, users were emailed a calendar appointment. The TBS continues to be used to schedule new staff for RIO Induction Training sessions, which are conducted on a weekly basis.

The RIO Helpdesk was established, with contact details displayed on a new screensaver and Council’s intranet. The RIO Helpdesk is comprised of the four-member Records & Knowledge Management Team.

The first few months following go-live saw an average of 2,500 requests per month. This has reduced to an average of 500 calls per month. Users can email or call the RIO Helpdesk, who can remotely access their PC to assist with any enquiry. Tasks are routed through the IT Helpdesk software allowing for the prioritisation and assignment of requests.

Continued on page 51



About the Author

ANGIE GARNETT, ARMA, has been the Coordinator Records & Knowledge Management at Moreton Bay Regional Council in Queensland, since amalgamation in March 2008. Prior to this she worked for the Caboolture Shire Council for 16 years. Angie’s experience in records management includes working at all levels of government, including with the CSIRO, Brisbane College of Advanced Education (now QUT) and the State Electricity Commission of Queensland (now QEC).

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JUST A LOAD OF OLD WORDS: the end of RM or the beginning of Corporate Intelligence?

In this vision for a brave new world of corporate intelligence, all business information and data is useful for any operational purpose, and content can be analysed effectively for the common good – wherever it comes from.

BY **KENNETH TOMBS**

Story Snapshot

- **The vision:** The Corporate Intelligence department of a financial company acts as a one-stop shop for evidence-based research for the business.
- **The challenge:** Can records management departments become the independent minds of their organisations?

That poxy regulator has been talking to the Press again," she fumes. "When even my own people can't get the story right what hope have we got!" 'She' is Jane Cartwright, the CEO of a very large North American finance house facing one of her daily challenges.

Jane takes the lift to the basement where she finds Christine, the Head of Corporate Intelligence. Michael the Head of Organisation Development is talking to Christine about the results of the last psychometrics run for the *Talent Management* scheme.

"I'm not sure the taxonomy was seeded properly," he says. "Can you get the analyst to run it again for me? Thanks – oh sorry Jane I didn't see you there," he says to the CEO.

They all exchange pleasantries. Mike leaves and Jane asks Christine if she can identify which member of staff has been talking to the Press. Christine says she'll run this personally if Jane will sign off the trawl as a governance item. While she's about it, would Jane like the external Horizon Scan for the last few days?

"Yes please," says Jane, "then I can see if this leak has created any fall-out and plan what to do about it. Oh, and can you run an analysis of what happens to our share price based on the public comments on Twitter and WikiLeaks – we've never tried that one before!"

Jane picks up a skinny latté from the coffee shop and heads back to her office. "It could be a long day," she thinks to herself. As she sits down Christine's first report arrives. Surprisingly, the only connection to the Press was a journalist's visit to their office three days ago. Seems he just got lucky and heard some corridor conversation.

Jane calls the PR director and lets him know what has happened. Meanwhile on the 10th floor, Mike tries to remember what Corporate Intelligence was called before – "ah yes, the records management department".

Arthur, a client, had never called the finance company before; he'd always been a proud silver surfer and used email. But now, he's actually angry about what had been sent – the email had lacked respect, he felt! With more than a little trepidation he called their number and after a couple of rings a computer voice said, "Just tell us in a few words about how we can help you today?" Arthur replies briskly "I want to complain about the last email your pensions people sent me."

Behind the phone, a *Smart Plex* was handling incoming calls. It wasn't all that intelligent otherwise it would be bored rigid. It did however have lots of rules and dependencies to help it work out what to do every time someone called the finance company. It was waiting patiently when Arthur's call connected.

The Plex didn't know much about Arthur's character as he had never telephoned in before, so it had to build a swift profile to help Arthur as best it could. Well, first off, was this actually Arthur?

The Plex first checks the phone number and could see that it could be either Arthur or his wife, Joanne, calling from their home. The Plex then checks the gender with the telephone system and confirms it is a man's voice on the line. It then asks the *Sentiment* system if he sounds angry, neutral or happy?

'Angry' it tells the Plex, adding that he'd tried to ring in three times that day already! The Plex then checks Arthur's character profile in the company records. He had never telephoned before, but another computer had already made a simple character profile from his emails which the Plex could use to shape a usable call-profile. If the Plex could actually reason, it would realise it was doing what people do all the time – find someone we like talking to.

This all took less than the time for one phone ring, before the Plex checks to find there would be 25 agents available very soon. Five agents were a perfect match to Arthur's profile and his complaint call, while the rest were not such good matches. The Plex follows its rules and uses the best agent, unless the waiting time gets over extended, in which case he would be given a less well-matched agent.

Fortunately, 20 seconds later a well-matched agent is free and so the Plex gives Arthur's details to another machine, one that worked with the agent to connect up Arthur's call and find his corporate record. Having given the agent a few moments to read Arthur's upsetting email and scan his customer records from Corporate Intelligence, Arthur's call is connected.

Arthur comes on the line and the agent, John, knows immediately to apologise. Even as an old lag of an agent, John is surprised at the tone of the email. His psychology training kicks in and he feels good as Arthur's voice relaxes and he starts to talk calmly. At the end of the call Arthur wonders why he had been so uncomfortable with the idea of telephoning – "I'd do that again, if need be," he thinks. Meanwhile John swiftly replays the call to himself. "Our friend Arthur's character isn't quite what the record suggests, he's more of an 'x' than a 'y'," he thinks. So then, John revises the record and feels confident that the next time Arthur calls, he will get the best person to talk to, even if the officer is not as psychologically skilled as John himself.

A VISION FOR THE FUTURE – OR NOW?

In this vision all corporate information and data is useful for any operational purpose, by those with the analytical skills and tools to answer any question posed by management. A one-stop shop for evidence-based research for the business, easy and off-the-shelf as and when needed.

This is not salesman's puff – this vision is derived from real trials with real data such as the Enron emails, for instance. Even better, no more than what is available now has been employed, even if it is not yet in widespread use. And to top it all, the benefits are substantial with our scenario suggesting 10 to 20 per cent improvements to a basket of corporate factors not just the bottom line.

While there is no doubting the big brother overtones here, executives can no longer hide poor decisions behind incomplete information and data. Death by shareholder revolt is a tangible corporate risk now; imagine a Freedom of Information Act for company shareholders! It's not such a far-fetched idea after the corporate shenanigans of this recession.

DECONSTRUCTING THE VISION

Let's look at this story from a technological point of view:

- *Organisation Development boss Michael... is talking to Corporate Intelligence head Christine about the results of the last psychometrics run for the Talent Management scheme. "I'm not sure the taxonomy was seeded properly."*
- We take for granted tools like Concept Searching that make our EDM and SharePoint lives bearable and taxonomic, yet have totally ignored that in milliseconds such tools can re-run the lexical foundations of modern psychology sliced and diced any which way we want them. Forget badly designed surveys and psychometrics, these tools can give us both individual and corporate character on a daily basis – from our documents, if we really want to know.

- *CEO Jane asks Christine if she can identify which member of staff might have been talking to the Press.*
- Practically you would think, first do a simple search through company emails for a journalist's address or phrases that refer to or imply the subject at hand. The info that held the answer here came from the old-fashioned electronic guest book at the main door. All the email search would do is show no-one had blabbed to a journalist direct.

- *...would Jane like the external Horizon Scan for the company for the last few days?*
- This is a web tool that constantly compiles reports from trawls from known electronic sources that refer to our finance company directly, or indirectly. Newspapers and social networking sites are examples of ad-hoc sources to look at – speed reading on our behalf. On the web 'troubles' can surface days or weeks before it hits the fan at a corporate level. French company AMISoft is amongst a few suppliers that are good at this, as is Leximancer, with anticipation by far the best form of defence.

- *...can you run a statistical analysis of what happens to our share price based on the number of public comments on Twitter and WikiLeaks...*
- Here Corporate Intelligence would go to an external analyst, as this would require statistical programming such as Statsoft, SPSS or Mathematica. Such a measure can give the CEO a quick rule of thumb for how bad it could be for their all-important stock valuation and guide how she should react to what might be coming their way.

- *Arthur had never called the finance company before... "Just tell us a few words about how we can help you today."*
- Auto transcription is done by a few call centres, usually in the telephony system like Cisco or IBM, for example, and usually after the call has finished. It's a quick and dirty way of searching for themes as text and evidencing the call content. What better way to help profile Arthur than from his written words. Call centre managers hate correspondence, yet we can learn so much from how our customers write and help match people-to-people that way.

- *... a Smart Plex was handling incoming calls. It wasn't that intelligent...*

Learn more about the Corporate Intelligence project and Ken Tombs' discussions with other professionals on this innovative concept for information and records managers. Go to the Linked-in Corporate Intelligence group, www.linkedin.com/e/-wqt7zx-gibtv5gd-2m/vgh/3730743/

- This technology exists – it's just never been glued together. The Plex derives from work by Prof. Thomas Saaty at the Katz Business School on how we think and make decisions. Decision Lens in Washington DC uses the baby brother of the Analytic Network Processing for complex decision making for military and commercial purposes. It's off-the-shelf if you want such a tool, it's just never been used to join up complex nodes of interdependent data processing, or to consider machine learning as a source of value judgements as valuable as any human input.

- *It then asked the Sentiment system if he sounded angry, neutral or happy?*
- Sentiment analysis, in this case from Lexalytics, is in use with major information providers to gauge the sentiments expressed in voluminous document feeds. In the story, it helps the agent to know if the caller is happy or sad, to give them a chance to brace themselves, or be happy and smiley.

- *… another computer had already made a simple character profile from his emails which the Plex could use to shape a usable call-profile.*
- A long-established psychological method has been trialled recently to energise the hearts and minds of agents at a major call centre. The trial showed two quartiles of consistent improvement in the poorest performing test teams. What was missing was how to plug it into the Plex and help the agents trained in using this profile technique, help the technology to learn and adapt its behaviour. This learning behaviour has been clinically proven in two trials funded by Glaxo Smith Kline with Normind in Montpellier, into the treatment and diagnosis of asthma and cancer.

- *… Having given the agent a few moments to read Arthur's upsetting email and scan his customer records from Corporate Intelligence…*
- You guessed it, those all important, properly managed for legal purposes records that no highly effective business can live without.

WHERE TO FROM HERE?

RM professionals – though computer literate to the nth degree compared with 20 years ago – still seem drawn to the word as an abstract item. We maintain the container and fuss not about the content.

Yet RM professionals are the only general-purpose information scientists in the business, the kind of people who can take content and make sense of it. The next step to analysis comes naturally with a history of document Diplomatic Analysis and psychological Prosody (the study of language or versification) to call upon. It is this bigger picture role that seems to me to be the future, becoming the independent mind of the business – honest, truthful, legal and decent!

So here is my call to action for the profession.

Under the working title of Corporate Intelligence, we bring advanced analytics, Business Intelligence, text processing and other such, and apply them to our information assets in the broadest sense. We begin by getting copies of data in one place and experiment with a few statistical and free downloaded text tools to evidence the possibilities. A few quick wins will show conclusively your documents and data together contain more than just words, and that content can be analysed effectively for the common good – wherever it comes from.

The devil is in the detail and for too long we've ignored the angels hidden with him. All we need to do is find either of them and let them guide our business choices and practices.

MOVING FORWARD

A good place to start is by developing the role of an Intelligent Customer for Business Intelligence and Advanced Analytics quietly so that people know they can come to you for analysis and well as records. This way you learn to put them both together and build a Centre of Excellence in your business for Advanced Analytics. **iQ**

- For more information, check out Leslie Owens blog, published 20 December 2010, headlined '*Text analytics: a key trend to watch over the next three years*' http://blogs.forrester.com/leslie_owens/10-12-20-text_analytics_a_key_trend_to_watch_over_the_next_three_years

About the Author

KEN'S work with Mike Steemson initiated the development of guidance for legally admissible electronic records. He is now the Programme Director for the Signal Counter Fraud and Governance Programme; and leads the Percipience Joint Venture into advanced analytics and applied machine learning for psychological, medical purposes and business purposes. He lives in Normandy with his wife, Christine.
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Information-driven business

How to manage data and information for maximum advantage

BY **ROBERT HILLARD**

Story Snapshot

- It's time to gain a better understanding of the role of information in business.
- Is information being used to create the most dynamic enterprise possible?

The concept of information overload is permeating every business. At the same time, the global economy is moving from products to services that are described almost entirely electronically. Increasingly, information doesn't provide a window on the business. It is the business.

As business becomes more complex, a simple set of metrics by itself is no longer enough to sum up the millions of moving parts that define the enterprise. It is time to gain a better understanding of the role of information in business and to introduce measures that allow executives to understand what information they hold and whether it is being effectively managed for the benefit of all stakeholders.

While large quantities of information have been with us for as long as humans have gathered in groups, it has recently taken on a whole new dynamic form. Business needs to enhance its service and differentiate using the informational resources at its disposal. The winners tailor their product to the needs of their markets. Successful leaders have a deep insight into the running of their business. Such an insight can come only from accurate information.

Managing information has become as important to the enterprise as managing financial information has been to the accounting functions of a business. Information now pervades every aspect of an organisation, including reporting, marketing, product development, and resource allocation. In the last 20 years, reporting to management and investors has become much more dependent on information derived from nonfinancial sources than ever before.

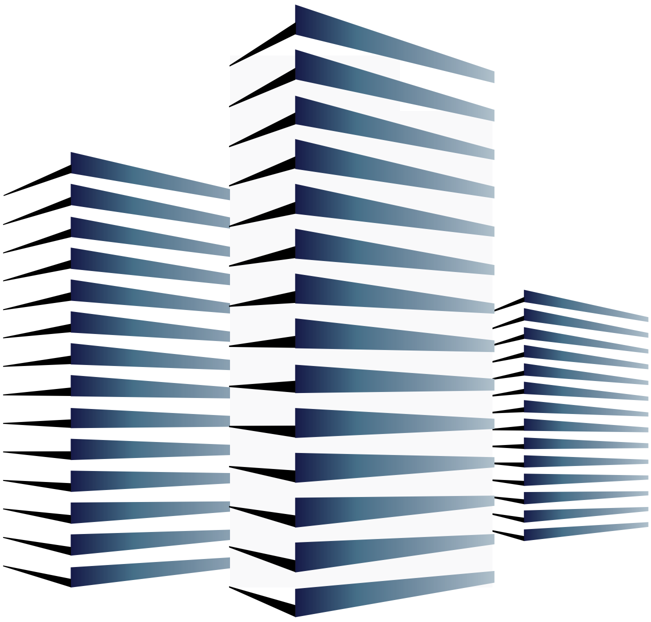
Everywhere we look, we see examples of how the management and exchange of intangible information has become more important than the trade in physical resources. An information economy has been created describing the exchange of information among organisations and between individuals and departments within a single organisation.

Robin Morgan once said that "Information is power". Armed for the first time with masses of information, head-office business executives have wielded previously unimaginable power, taking over not only broad strategy but the minutia of transaction review and approval. Morgan's hypothesis was that those armed with information are tempted to conceal it from others and use it to exercise control. Many staff in large organisations complain about their access to information and the lack of discretion they are permitted in the fulfilment of their jobs.

The question that any organisation needs to ask itself is whether it is using information to create the most dynamic, responsive, and adaptable enterprise possible, or is it using information to satisfy the need for power by a privileged few?

Companies gain scale because there is an advantage to their constituent parts. Companies, like countries, break apart when the constituent parts are able to realize more value without the parent entity. While many of the old reasons for businesses to combine have been superseded, there a new and even more powerful reason for organisations to join forces through aggregation or joint ventures.

While they are more complex to manage than their simplified competitors, they also have access to equally complex data about their stakeholders and operations. To justify its existence, a conglomerate cannot rely on back-end infrastructure sharing; rather, it



must be able to demonstrate that it is generating growth and cash flow through active sharing of information between every division of its constituent businesses. It can only demonstrate this effectively to its stakeholders by measuring the equivalent of gross domestic product (GDP) in the terms of its own internal information economy.

There is no better example of this than the attempts by media companies to establish their role in the information economy. Small media companies see the Internet as an opportunity to get their product to market without needing expensive infrastructure. Large companies need to find a way to use their extensive content to aggregate more effectively and offer consumers a product for which they are prepared to pay a premium.

Centralised and mandated initiatives to share information seldom work. Most economists agree that groups seek to serve the greater good only when there is a currency that they are exchanging that provides some personal gain. For this reason, the business that seeks achieve its business goals must assign value for information and, even more importantly, a currency to recognize its exchange. Information is neither free nor unlimited – it flows through an information economy. iQ

• Material excerpted from *Information-Driven Business: How to Manage Data and Information for Maximum Advantage*, by Robert Hillard, John Wiley & Sons, Inc. Reprinted with permission.

About the Author

ROBERT HILLARD is the author of Information-Driven Business (Wiley 2010, see www.infodrivenbusiness.com) and was an original founder of MIKE2.0 (www.openmethodology.org) which provides a standard approach for information and data management projects. He is a Partner with Deloitte in Australia with more than 20 years' experience in information management.

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The MIKE2.0 website

MIKE 2.0: a standard approach for information and data management projects

MIKE2.0 (www.openmethodology.org) is a global initiative bringing together the best thinking from information management professionals around the world. It does not belong to any one organisation although editorial oversight is provided by a non-profit Swiss association, the MIKE2.0 Governance Association, which includes professionals from a wide range of organisations.

MIKE2.0 has the stated objective of assisting the information management profession by bringing together a body of knowledge across disciplines such as records management, data management, business intelligence and enterprise content management. The focus of the initiative is to drive a standardised approach to allow professionals to more effectively work together.

"If you were a CIO, this might be central to one of your most important initiatives – gluing together all you information systems to deliver a dependable picture of how your business is doing. But let's be fair – scratch the surface, and you'll find this is hellishly complex stuff." Charlene Li and Josh Bernoff 'Groundswell', Harvard Business Press 2008

MIKE2.0 (www.openmethodology.org) is available today to every organisation, business or government. The content is provided using a creative commons licensing model, which essentially means that anything can be reused from the site in any way as long as its use is attributed.

The earlier that an organisation starts using MIKE2.0, the greater the value that can be gleaned. Perhaps start with a self-assessment (http://bit.ly/elkfRN), review the reference architecture (http://bit.ly/9sdJGV) and use work breakdown structure WBS (http://bit.ly/gtuuQv) to segment procurement and ask project contractors to adhere to the templates. A tender document based on MIKE2.0 is much more readily understood by vendors than one that is based on a proprietary approach.

Even more importantly, everyone can contribute to MIKE2.0. The information management profession is still evolving. Everyone's experience is valuable and input will continue to grow the MIKE2.0 resource. What's more, by encouraging teams to contribute they will typically take ownership and pride in the approach that they take in their projects. iQ

Establishing new standards for good recordkeeping in the Victorian Government

In October 2009 the Public Record Office Victoria (PROV) commenced a two-year project to produce a complete suite of standards, specifications and guidelines for recordkeeping. This includes a comprehensive education and communication program targeting all Victorian government agencies

BY **KYE O'DONNELL**, ARMA, ASA

The Victorian *Public Records Act 1973* was one of the pioneers in archival legislation. The Act established the Public Record Office Victoria "for the better preservation, management and utilisation of public records of the state". Under section 12 of the Act, the Keeper of Public Records is responsible for the establishment of standards for the efficient management of public records and for assisting Victorian government agencies to apply those standards to records under their control.

Early standards issued by the Keeper of Public Records were focussed on the storage and disposal of public records[1]. In 1997 a more holistic suite of standards were introduced which extended to the creation and maintenance of records in agencies. Two years later standards which supported the implementation of the Victorian Electronic Records Strategy (VERS)[2] were issued.

A decade later the Victorian Auditor-General's Office conducted an audit on records management in the Victorian public sector[3]. This audit highlighted significant deficiencies in recordkeeping practices in agencies. The auditors found that the 1997 standards were quite difficult to measure agencies against. They also identified a number of gaps – not surprising considering they were 10 years old at that time. The Auditor-General recommended that the standards be revised with a particular focus on the strategic management of records within agencies.

ESTABLISHING A PROJECT TO DEVELOP NEW RECORDKEEPING STANDARDS

Following the issue of the audit report, PROV submitted a number of applications for additional funding to support the development of a new suite of recordkeeping standards. In 2009 PROV were successful in securing funding for a two-year recordkeeping standards project. Two-thirds of the project would be funded through contributions from each of the state government departments, and PROV would contribute the remaining third from its annual operating budget.

A Project Board comprised of representatives from across the Victorian public sector was established to govern the project. The Board meets every two months and is responsible for ensuring the project remains on course to deliver standards of the required quality. A dedicated project team of six staff was formed in PROV to deliver the project. The team is comprised of a senior project manager, two senior project officers, a standards and assessment officer, a training development officer and a trainer.

The project is being managed using the PRINCE2 project management methodology[4]. Project initiation documentation, which included a business case, project brief, project plan, communications plan and quality plan, were all developed at the start of the project, and were approved by the Project Board. Project status reports are provided to the Project Board and other key stakeholders on a monthly basis.

The project's deliverables include the following:

- Published standards and supporting documentation based on the seven recordkeeping activities necessary for the development and management of a sound program of records management – these being strategic management, operations management, capture, control, storage, access, and disposal
- A plan for periodic reviews of standards and supporting documentation beyond the life of the project
- A completed marketing and communication program which includes regional and metropolitan seminars
- A suite of training tools in recordkeeping for use by Victorian public sector agencies

The project is being delivered in five stages with standards being published and training delivered at the end of each stage.

Story Snapshot

- Deficiencies in recordkeeping practices in Victorian government agencies were identified.
- PROV secured funding for a recordkeeping standards project.
- The project is being delivered in five stages with standards being published and agencies undergoing training.

A METHODOLOGY FOR DEVELOPING STANDARDS

The project is developing and publishing four types of documents, as follows:

- **Standards** – a set of mandatory principles
- **Specifications** – a set of mandatory, detailed and measurable requirements which define the criteria for a standard
- **Guidelines** – explanatory notes to facilitate implementation of requirements
- **Fact sheets** – a brief overview of a key records management concept

In the past PROV standards have been developed using a variety of approaches. The methodology employed during this project has had a strong focus on collaboration and consultation with stakeholders. Input is sought from a wide range of subject matter experts early in the development of a standard through face-to-face interviews and workshops. Subject matter experts include internal PROV staff, records management professionals working in agencies, consultants, services providers and representatives from key regulatory authorities.

Drafts of all standards and supporting documentation are released for public exposure to seek feedback from a wider audience. During these periods a mixture of online and face-to-face opportunities are provided to engage with key stakeholder groups. Consultative forums are held in Melbourne and three regional centres to review the drafts and collect feedback on how relevant, practical and implementable the proposed standards are. The project has also made use of web 2.0 technologies, including a dedicated blog and Twitter.

RECORDKEEPING TRAINING FOR THE VICTORIAN PUBLIC SECTOR

Shortly after the release of a new standard, a training module is delivered to assist agencies to implement the standard. A training strategy has been developed to meet the needs of four target audiences – heads of agencies, records managers, related professions and general staff – which each have different learning needs. For example, each of these audiences need to understand basic concepts and facts about the standards, their implications to their role and how to apply them at work, while records managers need a much deeper understanding so they can help implement the standards in their agencies.

Standards development methodology

All recordkeeping standards products are being developed in accordance with a project quality plan approved by the Project Board. There are five key stages that PROV follow when developing a new standard, specification, guideline or fact sheet:

- **Stage 1: Initiate** The first stage involves researching best practice through published standards and by interviewing subject matter experts. A product description is developed at the conclusion of the research for review and approval by subject matter experts at PROV and on the relevant external advisory group.
- **Stage 2: Develop** A draft product is developed to meet the requirements of the product description. The drafts are reviewed with subject matter experts and feedback is incorporated.
- **Stage 3: Consult** A draft is released for public exposure on the PROV website and stakeholder groups are encouraged to provide their comments. Feedback is gathered through facilitated forums, email and via the project's blog. Stakeholder feedback is analysed and required changes are incorporated into the final draft.
- **Stage 4: Publish** The final product is quality reviewed by subject matter experts and then approved by the Keeper of Public Records for publishing. It is officially launched and promoted to the heads of all Victorian government agencies.
- **Stage 5: Train** Training seminars and briefing sessions are held to increase awareness and understanding of the published product to assist agencies with its implementation.

When a new standard is issued a letter from the Keeper of Public Records is sent to the head of each Victorian government agency. The purpose of this letter is to notify the agency of their obligation under the Act to comply with the new standard, outline the benefits of implementing the standard, and inform them of the training and assistance available from PROV.

Records managers are invited to attend free, facilitator-led training courses to familiarise them with the new standard. A problem-based learning approach is used in these training courses. It requires participants to work in small teams to define a problem and what has caused it, apply the relevant standard to the problem and determine how to resolve it. They then need to present and support their findings to the rest of the group for analysis and discussion. Problem-based learning is a widely used methodology involving active and self-directed learning for situations that require analysis and application of models. For this reason it lends itself well to standards training and encouraging agencies to use the tools developed by PROV.

Information briefings are held for allied professions to raise their awareness of the new standard. The briefings consist of a one-hour presentation on specific topics and their impact on a particular profession. So far briefings have been held for risk managers, ICT managers and contact managers.

An online e-Learning program has been developed to meet the needs of general staff, contractors and volunteers working in the Victorian public sector. The program is publicly available via the PROV website and addresses the following topics:

- What is recordkeeping?
- Benefits of good recordkeeping
- Recordkeeping responsibilities
- Principles from recordkeeping standards

A completion certificate is automatically emailed to the learner once a multiple choice question learning review has been successfully completed. In addition to the e-Learning course, materials developed for the facilitator-led sessions and briefings are made available so they can be re-used by records managers for further training of agency staff.

LESSONS LEARNT

At the end of each project stage, a post-implementation review is conducted in accordance with the project plan. The purpose of these reviews is to identify lessons learnt and make recommendations for the conduct of future project stages. Reports of these reviews are presented to the Project Board for endorsement. Each report provides a summary of the stage's activities; evaluates the project's performance in terms of deliverables, milestones, stakeholder engagement and investment; and details recommendations based on lessons learnt during the stage to improve the delivery of future project stages.

Some of the key lessons learnt to date are summarised below:

- Product descriptions were too brief, leaving too much room for interpretation and misunderstanding between the writer and quality reviewers. The product description template has been revised to include more detailed descriptions of each product component.
- Although one of the project's quality criteria is 'concise', stakeholders aren't generally concerned with long guidelines, as long as they contain relevant and practical information.

- Changing writers during the development of a product reduces its consistency and readability. Wherever possible, a single writer is now assigned to develop a product from start to finish.
- Advisory group discussions can easily head off on tangents resulting in time spent discussing issues which are outside the group's scope. Formal terms of reference are now developed for each advisory group and all members are asked to approve it at the group's first meeting.
- Mixing internal and external subject matter experts in workshops can discourage open and frank discussion between participants. Separate interviews and workshops are now held for internal and external subject matter experts.
- Most external feedback is provided face-to-face at advisory group meetings and consultative forums, rather than online. Face-to-face forums have become a key feedback mechanism. They are supplemented by online engagement activities, but can't be replaced by them.
- Most people attending consultative forums were interested in providing feedback on specifications rather than guidelines. Consultative forums now primarily focus on draft specifications which contain the mandatory compliance requirements.
- Agency records managers want to see example recordkeeping program documentation. An online forum is being established on the Victorian Government intranet to facilitate the sharing of example policies, procedures, strategies and plans developed by agencies according to the new standards.

AGENCY SELF-ASSESSMENT

Under the *Public Records Act 1973* the head of an agency is responsible for ensuring that a program of records management is conducted in the agency in accordance with PROV standards. Agencies are expected to be compliant within 12 months of a standard being issued, or have a documented plan in place by this time to address any compliance gaps. Records managers are encouraged to conduct a self-assessment of their agency against the compliance requirements detailed in the specifications. Assessment tables are provided in the training participant manuals to help facilitate this process.

A maturity model approach has been adopted in the self-assessment tables to allow agencies to rate requirements according to how mature the agency is at meeting the requirement. Compliance with requirements can be rated as ad-hoc, managed, standardised, predictable or optimised. The table also includes columns for noting and prioritising actions to ensure compliance requirements are being adequately met. The actions should then be fed into the agency's records management strategy for implementation.

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CONTINUOUS IMPROVEMENT PROGRAM

The Recordkeeping Standards Project is due for completion in July 2011. An ongoing continuous improvement program is currently being developed to ensure that the standards products developed during this project remain relevant and up-to-date into the future.

The objectives of the recordkeeping standards continuous improvement program are to:

- maintain PROV's strategic leadership in recordkeeping within the public service and across the broader community
- ensure products continue to meet established quality criteria
- provide ongoing standards coverage for the Victorian Government
- identify emerging gaps in standards coverage
- incorporate agency feedback into revised products
- review products in accordance with an approved quality process
- ensure stakeholders are consulted and engaged in the review process.

All standards products have been developed in consultation with agencies to try and ensure they are practical and implementable. The best test of their quality however will be when agencies attempt to implement these standards. The continuous improvement programme will utilise the experience gained by agencies when these standards are periodically reviewed and revised. **iQ**

About the Author

KYE O'DONNELL is the Senior Project Manager for Recordkeeping Standards at Public Record Office Victoria (PROV), where he is currently managing the Recordkeeping Standards Project. Previously he was the systems manager for an enterprise content management system at Curtin University of Technology. He has also worked as a records manager for seven years at the City of Perth and for five years in information management at Woodside Energy. He was President of the WA Local Government Records Management Group for five years and is a Business Excellence Evaluator for Standards Australia.

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Educating the masses

Educating staff about the importance of records management is one of the biggest challenges confronting information managers. Here, one records management team leader explains how he tackles training

BY **PATRICK CARSWELL**

Story Snapshot

- Break down information delivery into bite-sized chunks
- Let new staff know your organisation's RM system quickly
- Remember that people learn in a variety of ways

An organisation's staff is like a typical classroom of students, with a wide range of backgrounds and varying degrees of previous knowledge and experience, which makes tailoring educational opportunities challenging. People also have preferred styles of learning that should also be considered. Content and format of training should be flexible enough to suit intended audiences.

There is so much information to share with staff, and it's often not possible to do in the time available. Just like students, staff members have limited attention spans so you need to focus on a small number of specific objectives during a series of tutorials rather than bombard them with too much information all at once.

It's important to introduce new staff to your organisation's records management system as quickly as possible. This will give them clear guidelines from the beginning and reduce the risk of them learning bad habits from other staff. I greet all new staff as they arrive with an invitation email in which I briefly explain what the records management team does and how this may apply to them. I ask them to suggest an appropriate time for a records staff member to visit them at their desks.

It's advantageous to visit newcomers in their work area for a number of reasons. It gives the records management team the opportunity to meet each new person and to build a relationship, which will inevitably improve teamwork across the organisation. It makes the new staff member feel valued as you're giving them one-on-one attention. It's the best way to demonstrate new software, too. The learners can ask questions they might not like to offer in a group situation.

Some organisations create 'Welcome Packs' for new staff which contain background information about the department, a quick user guide, a more detailed manual and promotional material like stickers and pens. This is a wonderful idea provided the budget can stretch that far.

TRAINING OPPORTUNITIES

After shifting more than a few archive boxes over the years I tend to lean more towards electronic learning rather than hard copy manuals, but I'm surprised how many staff members prefer to use hard copy rather than online guides. This makes tangible learning material even more necessary.

It is important to offer learners a wide variety of opportunities. This definitely extends beyond the traditional printed manual but it is still an important resource to produce and should be reviewed regularly.

When designing the main user guide you should think about end users' needs and how they might navigate their way around. A clearly labelled contents page is important as is page numbering to allow quick access to information without flicking through the whole document. I recently attended a software induction where the manual had wrongly numbered pages and this caused a lot of problems.

Screen dumps are important, too. They will greatly assist the visual learner. They provide confirmation to new users that they are on the right track if they can match what is on the pages to what is on their screens.

Once the printed guide is created you should consider converting this to an electronic version. Not only will this reduce the amount of paper required but it will allow all users instant access to this information across your intranet. You should insert anchors or links to your main sections like your 'to do' list, replying and reassigning to assist with navigation.

These training methods are traditional and focus on learning being a one-way street rather than being interactive and engaging. Interaction can certainly be achieved in the individual training sessions and I would encourage activities with any group sessions to assist with evaluation.

"IT'S IMPORTANT TO INTRODUCE NEW STAFF TO YOUR ORGANISATION'S RECORDS MANAGEMENT SYSTEM AS QUICKLY AS POSSIBLE"

Another way to encourage interaction is to create an electronic quiz. I have used PowerPoint to make these but you could also use basic web pages to create problems that have multiple solutions which the leaner must act upon to proceed. Before playing around with hyperlinks and action buttons you should map out the design of the quiz using flowcharts. Queensland State Archives have produced a wonderful PowerPoint presentation called *Introduction to Recordkeeping* at www.archives.qld.gov.au/government/RecordKeepingTrainingOpportunities.asp which you can modify to suit your requirements.

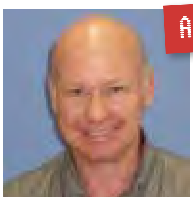
Humour can be very effective when tackling delicate issues especially with compliance. If you're feeling creative think about making short clips using PhotoStory or video editing software which could be posted on your intranet. Staff would be more inclined to watch a clip rather than read through email reminders or cheat sheets.

Cam Studio is an excellent free screen recording piece of software that can save clips as AVI or Flash files (http://camstudio.org/). I have used this to create short demonstrations of our EDMS software but make sure the clips are brief as they do create very large file sizes.

Have a section on your intranet dedicated to who you are and what you do. You should consider how the end user will interact with this information and design the content as if you were in business so that it's engaging and easy to navigate. After all we're in the information business so why not promote this.

I've focused mainly on training staff to use EDMS software, but the overriding educational goal should be awareness and compliance across your organisation which cannot be achieved through tutorials and manuals, but needs endorsement from your CEO.

Education is a powerful weapon in the struggle to attain compliance across the organisation. Take time to critically review your strategies and remember that your organisation's staff is made up of individuals who learn in a variety of ways. iQ



About the Author

PATRICK CARSWELL is currently the team leader of records management at Bundaberg Regional Council. Before this he could be found loitering around school libraries, in the role of teacher-librarian, waiting for the return of *Buffy*.

- He can be contacted at patrick.carswell@bundaberg.qld.gov.au

Previewing

Communicate : Collaborate : Innovate

inForum 2011, to be held in Darwin this September, is all about coming together in the spirit of collaboration to innovate, build and share knowledge, develop methods and learn new technologies

RIM Professionals Australasia is gearing up for this year's inForum – to be held from 11 to 14 September 2011 at the Darwin Convention Centre.

Looking to the city from the edge of the Arafura Sea, the Darwin Convention Centre is the iconic waterfront landmark of Australia's tropical harbour city. To the Larrakia, the traditional owners of Darwin, the harbour is a place of connection where they have welcomed visitors for centuries while trading with other indigenous tribes and Southeast Asian neighbours.

So it is fitting that inForum 2011 is about coming together in the spirit of collaboration. The theme, *Communicate : Collaborate : Innovate*, is all about how the information sector is working together locally, nationally and globally to innovate in the face of constant pressure to build knowledge, develop methods, learn new technologies and justify their organisation's needs. What are we doing already? What are we, or should we, be doing differently to move forward for tomorrow's challenges? Topics include:

- What new collaborative advocacy roles or initiatives are being developed?
- Are Web2.0 and the next Web3.0 approaches making a difference to how we are perceived, how we work and communicate with each other and within our organisations?
- What does 'going green' mean for the information sector?

Top and above: The Darwin Convention Centre

- How can we collectively improve access to information within our own organisations and in the wider community as expectations and technologies change?
- How our communities of practice are working together for change, driven internally or externally. iQ

IMAGES: DARWIN CONVENTION CENTRE 2009

Highlights of the education program

While the education program is still being finalised, we can tell you there are some exciting speakers and sessions lined up

Keynotes

STEVE BAILEY

Steve Bailey is the author of *Managing the crowd: Rethinking records management for the Web2.0 world*, published in June 2008 by Fact Publishing. He will be appearing via live web stream from the UK where he is based.

Steve currently acts as senior advisor on records and information management issues for JISC infoNet, an advisory service for managers within the HE and FE sectors. He is responsible for preparing and disseminating a range of guidance material and tools to help support the development of records and information management within the sector, including the widely acclaimed Impact Calculator. He is also a well-known speaker and writer on records management issues with over 60 papers and presentations to his credit.

Steve spent five years leading JISC's own internal records and information management activities and its successful program of innovative records management and information governance development projects.

Since obtaining his Masters with Distinction in Archives and Records Management from UCL in 1997, Steve has worked as Assistant Records Manager for the global pharmaceutical company Pfizer and Team Leader (Archives and Records Management) for the University of Gloucestershire.

- Steve's blog on the future of records management can be found at http://rmfuturewatch.blogspot.com/

SHADRACK KATUU

Shadrack Katuu has had a diverse international career, spanning various information management fields. He has held consultant or advisory positions at the Namibia National Archives, South Africa's National Research Foundation, the South Africa History Archives, the Bank of Namibia and the Swazi Bank. He has also worked in Canada in a records management and application analyst capacity.

He was until recently the Manager Information Systems at the Nelson Mandela Foundation, and has held advisory roles with the South African Human Rights Commission and the Steve Biko Foundation.

Shadrack has held teaching and guest lecture positions at the University of Botswana, the University of Pretoria and University of Witwatersrand in South Africa, the University of the West Indies in Barbados and Moi University in Kenya .

He is the Co-director of InterPARES III team Africa and a member of the ISO Technical Committee 46. He has been published on a wide range of topics, including electronic records management, open source document systems, authenticity of electronic records, metadata schemas, and the conflict between access to and security of records and electronic commerce.

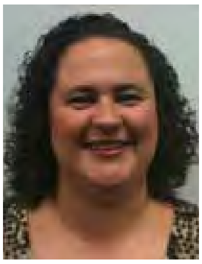
He has a Masters of Archival Studies and a Masters in Library and Information Studies, both from the University of British Columbia, Canada and is currently a doctoral student with the University of South Africa.

PROFESSOR JOHN MCMILLAN

Prof John McMillan AO was appointed Australian Information Commissioner in November 2010, to head a new office responsible for freedom of information, privacy protection and advice to government on information management policy.

John was formerly the Commonwealth Ombudsman from 2003 to 2010; and the Integrity Commissioner (Acting) for the Australian Commission for Law Enforcement Integrity in 2007. He is an Emeritus Professor of the Australian National University; and co-author of a leading student text, *Control of Government Action*.

John was a founding member in the 1970s of the Freedom of Information Campaign Committee, which led the public campaign for enactment of the *Freedom of Information Act 1982*. He is a National Fellow of the Institute of Public Administration Australia; a Fellow of the Australian Academy of Law; and former President of the Australian Institute of Administrative Law.



BROOKE WOOLDRIDGE

Brooke Wooldridge is the Project Coordinator, Digital Library of the Caribbean, Latin American and Caribbean Center at Florida International University, where she has worked since 2008.

She is currently focusing on two major projects: developing an online, open access Caribbean Newspaper Digital Library and supporting the dLOC Protecting Haitian Patrimony Initiative (PHPI). Since the earthquake on January 12, 2010, PHPI has led the effort to provide assistance to the libraries and archives in Haiti and directly secured over $50,000 in direct and in-kind assistance. Brooke has also shared information and advocated for the needs of the partner institutions with colleagues in related fields and at many academic conferences. As the coordinator for dLOC and a member of the Board of the Haitian Studies Association, Brooke continues to work with various local and international partners to provide assistance and support for the libraries and archives through dLOC's on-going partnerships.

Brooke received her Master of Arts in Latin American and Caribbean Studies from Florida International University and a Bachelor of Arts in Spanish and Business Administration from Greensboro College. Her prior professional experience includes work with the International Organization for Migration in Colombia, the FIU Colombian Research Institute, secondary education and international sales. iQ

Facilitator
Amy Scott

Workshops

GET DOTTED!

This workshop on communication training involves a fresh approach to bringing out the best in people. Breakdowns in communication occur when one, both (or more) people expect, demand and/or assume. When people have an understanding of different communication styles, they are less likely to expect, demand or assume. Find out why some people seem to "rub you up the wrong way", or why you can manage and work with some people better than others. Find out what 'dot' you are and what 'dot' your staff are. Delivered in an educational and interactive way, the results of this workshop include clearer communication, less confusion, lower stress levels, happier staff, greater efficiency and improved client service.

Facilitator Amy Scott was a practicing lawyer for over six years, when she decided to have a change of direction. She has since spent over six years as a communication consultant and a training consultant. She has worked in the community sector with the Kiwi Family Trust New Zealand, to provide personal development programs to help people 'help themselves'. Amy has worked in the information technology and services industry and is now in professional training and coaching. She has developed and provided training in change management, EDRMS projects and e-learning modules. Through her company Red Gumboot consulting Ltd, Amy is a licensed facilitator of 'Get Dotted!' communication training. iQ

- To find out more about the training or read more feedback, see www.redgumboot.com

Highlights – the social program

inForum is not just about the education, as you will know if you have been before. The social program is also of great value to participants for its networking opportunities – and just good fun!

If you are visiting Darwin for the first time, why not take the opportunity for some **sightseeing**? On the Sunday afternoon before the serious business of the educational program begins on Monday morning, there is a three-hour guided tour of the city and surrounds on a chartered version of Darwin's famous Tour Tub for delegates to take part in. Sights include the Botanical Gardens, WWII storage tunnels, Wharf precinct, and many other local historical landmarks.

The Sunday night **Welcome Reception** will this year be held on the esplanade in front of the Darwin Convention Centre overlooking the wave pool and wharf precinct. This is the premier opportunity to catch up with old friends, network and make new contacts. Local entertainers Emdee will provide additional ambience as guests enjoy drinks and nibbles in Darwin's tropical climate.

Ahoy me hearties! Treasure and Treachery is the pirate-inspired theme for the **Annual Awards Dinner**, which features the presentation of RIM Professional Australasia's Annual Awards, a three-course dinner and a DJ and dancing. The dinner will be hosted at the Darwin Convention Centre on Monday 12th September.

There will also be plenty of other opportunities for networking at the morning and afternoon teas, lunches, drinks and various dinners. iQ

The Welcome Reception will this year be held on the esplanade in front of the Darwin Convention Centre overlooking the wave pool and wharf precinct

IMAGE BOTTOM: DARWIN CONVENTION CENTRE 2009

Darwin: why not stay a while?

The weather is warm all year round in Darwin, with an average of 32 degrees Celsius – it's best described as balmy (from May to October) or sultry (from November to April).

If you want to see the compact CBD while you're there, it's best done on foot, or aboard a jump-on-and-off tour bus by day. In the evenings, the pubs and nightclubs on Mitchell Street are the place to go, or you can dine at Cullen Bay or try your luck at the casino on Mindil Beach. Local restaurants serve dishes from all over the world along with authentic Northern Territory cuisine like mud crabs, barramundi, buffalo, kangaroo and crocodile.

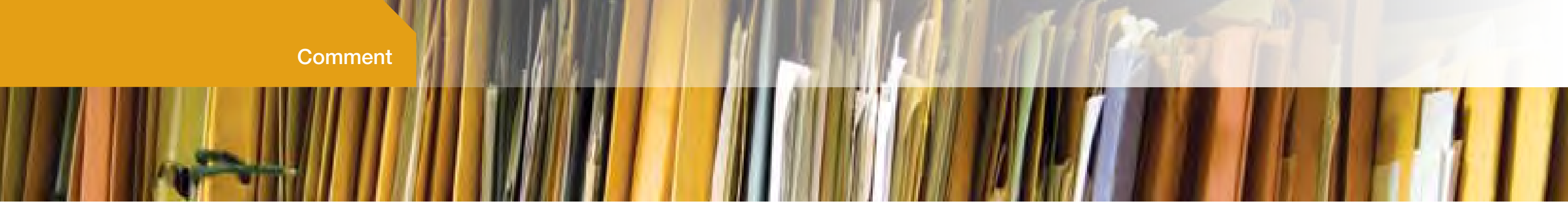
On weekends the city is scattered with open air markets at Parap, Nightcliff and Mindil Beach. Here you'll find an array of stalls serving cuisines from all over Asia and locally made arts and crafts. There are also performances from musicians and artists, a variety of street theatre, traditional bush poetry and even free stock-whip cracking lessons.

Darwin exhibits a fantastic mix of Aboriginal art from all quarters of the Top End. Visit galleries filled with traditional and contemporary paintings and prints, sculpture, fibre craft, glassware, jewellery and ceramics.

Beyond Darwin you will find some of the most spectacular scenery in the world including Katherine Gorge, Litchfield National Park and Kakadu. It's worth extending your stay a while and exploring the Top End – it'll be a holiday you will always remember! **iQ**

Main image: Darwin and surrounds from the air **Inset top:** Aboriginal rock art (Namondjok) at Nourlangie, Kakadu National Park **Inset bottom:** Pools at the Top of the Gunlom waterfall in Kakadu National Park

IMAGE TOP: DARWIN CONVENTION CENTRE 2009; BOTTOM: SHUTTERSTOCK



ON THE RECORD

Questions – an occasional column

BY **GLENN SANDERS**, MRMA

WHAT'S IN A NAME?

Winnie-the-Pooh lived in the forest under the name of Sanders. So I've been a bit bemused by ***the*** topic of most emotion on the listserv recently – the proposal to change RMAA to RIM Professionals Australasia. Names are important: I run a unit called Information Services, not Records. Within it is a Research Services team, not a Library, and a Document Distribution team, not a Mailroom. It's all about posture, and strategic alignment. The trick is to change the name to present the best posture, without blindly following the latest short-lived fad. I supported the change because 'RMAA' is badly out of date, even though I'm not entirely happy with RIM Professionals Australasia: deep down, I've always felt that *Australasia* is more than a bit patronising to New Zealanders.

COMPLIANCE: WE'VE GOT IT ALL WRONG

For many years now we've all repeated the mantra: we keep records for two reasons – to support business needs, and for compliance. That's just plain wrong. It makes it too easy for others to see us as being concerned only with compliance, and as being solely responsible for compliance, which is unsustainable in an electronic and increasingly cloudy environment. It's simply poor posture, poor positioning and poor selection of the motivators management are looking for to decide what to support. And it allows others to avoid responsibility. There is only one reason to keep records: business need. All managers in all sectors have many business needs, one of which is compliance with an ever-increasing number of laws – equal opportunity, fair trading, discrimination, industrial laws, privacy and more. Records is but one of many compliance obligations, which are but one of many business needs. We keep records because we need information to do our job. Time to redraw the mantra and refocus our professional activities.

STANDARDS – LOWEST COMMON DENOMINATOR

There are two types of published standards: enforceable, and best practice. If you connect things to electricity grids, or build cars, or sell food, and you don't comply with standards, you can get fined or go to gaol. Enforcable standards come with a raft of inspection, audit and certification regimes. Standards in our world are best practice, compliance is essentially voluntary, and the requirements very generic. The problem with ISO best practice 'standards' is that, by the time they go through various national organizations, then get into the ISO circus and get done over by Americans determined to cripple anything which might interfere with free trade, or worse, require American practices to change one iota, they come out as lowest common denominator, largely denuded of any significant aspirations. They help if you are setting up a records program for the first time, but unless you've only been folio numbering for the last fifty years, best practice standards are something you should aim to significantly exceed. **iQ**

• **But what do you think?** Get back to me on the RIM ProfessionalsAustralasia listserv, or at sandersinfo@gmail.com.

About the Author

GLENN SANDERS, BA, Dip Lib (UNSW), GDDM, MBII (RMIT), MRMA, has been involved in managing information in government and the private sector, for over thirty years. As a freelance consultant, he introduced computer systems into many organisations.

Long a proponent of decentralised operations, he has also set up two large central records facilities. Recently he has been involved in selecting and implementing electronic document management systems, and managing a large hardcopy cleanup prior to a major office relocation.

On the Grapevine

Welcome to the New Year! As most of us start to settle back into our daily routines, it's time to think about our training needs. The RIM Professionals Australasia events calendar provides an up-to-date list of what's going on in your state, country or association and, for most events, Australian members can register online.

FANCY A JOB CHANGE?

It's the time that New Year's resolutions are put into place, and to that end some people will be looking for a new job. RIM Professionals Australasia assists jobseekers by allowing them to place employment wanted ads on our products and services directory free of charge. A small fee is charged to companies and agencies wishing to fill positions to advertise on marketplace. Remember, the listserv is also an excellent place to learn of job vacancies and to post positions, as well as to have a chat about professional issues that arise.

SPEAKING OF LISTSERV...

We frequently receive the query 'what is a listserv'? The technology is old, but the concept, once learnt, is very simple. Essentially, a listserv is an electronic mailing list. You join the list by subscribing from our website. You will then start to receive emails into your inbox (either one-by-one or in daily batches, depending on your choice) from other subscribers. You can reply to the emails by pressing 'reply', and your email is then sent to all other listserv subscribers. If you wish to respond to an email privately, you can forward the email to the intended recipient and send the message as a normal email.

There are very few rules with the listserv, but they should be considered;

- Don't post html messages
- Don't post images
- Be courteous and polite

The listserv is open to members and non-members alike and there is no charge for using it. Additionally, it is very easy to unsubscribe at any point. iQ

- If you have any questions about seminars, employment, the listserv or advertising or sponsorship, please do not hesitate to contact wendy.daw@rimpa.com.au, ph 0419 719 820.

Continued from page 33

The Road to RIO

BUT WAIT, THERE'S MORE...

In May and June 2010, Council successfully migrated over 1.8 million documents from the LIS, which is now fully integrated to RIO. Distribution of hardcopy mail ceased and all incoming correspondence is distributed electronically to RIO mailbox folders.

In July 2010 all network drives were made 'read only' and all faxes were redirected to RIO mailbox folders. RIO buttons were introduced to the multi-function devices. Documents scanned on these devices are automatically text indexed and saved to RIO. Between July and September, data was migrated from the network drives to the RIO File Plan and at the end of September, the network drives were locked down and archived. Migration of the former Pine Rivers and Caboolture EDRMS data is planned for January to April 2011.

RIO now houses over 4.5 million documents, 429,971 files and has 1,260 current users. (Over 400 MBRC staff were transferred to Unitywater[9] on 1 July 2010). An average of 17,000 emails and 2,000 eFaxes are registered in RIO each month.

So, was RIO a success? In separate surveys more than 70 per cent of RIO Champions and RIO end users agree that RIO either met or exceeded their expectations regarding document collaboration, email management, document storage and retrieval, management of incoming correspondence, and integrations with corporate systems. It certainly seems like a successful beginning. Hopefully our journey will provide insight and inspiration for other organisations undertaking EDRMS implementation.

CREDITS

RIO is proudly brought to you by:

Project Sponsors: Keith Pattinson, Manager Financial & Project Services and Shane Hinchliffe, Manager Information Services. Project Manager: Loretta Libke, Manager Project Services.

Project Team: Angie Garnett, Coordinator Records & Knowledge Management; Michelle Langley, EDRMS Team Leader; Debbie Brown, EDRMS Systems Administrator; Joy Royce, Training Analyst; Vern Muddle, Systems Analyst; Steve Rumbell, Coordinator Systems Solutions; Schellwyn Jackson, Business Analyst; Tamaris Moses, Business Analyst; and Deborah Buzza, Administration Officer. iQ

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Making records management fit for purpose

While you ponder this and start writing, let me give you an example of where this came from. I was sitting in a demonstration of a new product which has office-style facebook and twitter functionality built in, and I asked the presenter, so how do you manage these items as 'records'. The answer of course is that it can be done, but the important thing for practitioners is the question of what is worth saving, what is worth protecting, and how do we protect it. Web 2.0 'stuff' does not always lend itself to living in a neat folder structure as our typical office documents do; it is, by its very nature, conversational, dynamic and not static, and so needs to be handled differently. In the same way that we often struggle with email management, we will have the same issue with Web 2.0 records; just on an infinitely larger scale!

The technology before us is moving as always at pace, and we as always are lagging behind. But why? The vendors can tell me quite happily that, yes, you can declare your wiki and blog content as records, but how? And what can be declared? The entire content? The final submission? Each individual thread?

Anita Rapson gave a great presentation last year to a RIM Professionals Australasia event where she shared her research into the approaches and problems of managing Web 2.0 content as records. More than one organisation had taken the interesting step of printing out all of the wiki content around a particular subject, arranging into files and shipping it off to Archives. As I sat listening to the new Web 3.0 world, I was excited and slightly horrified at the implications of the technology and the way in which we practice our discipline; if the tools advance and give us more opportunity, what do we the recordkeepers do with it?

2011: YEAR OF OPPORTUNITY, YEAR OF CHALLENGE

And here is my first challenge to our profession for 2011: Do not sit idly by and wait for the technology to come to you, start talking to the vendors in detail now. Educate yourselves in the technology and help educate the technologists in the needs we have for RM functionality. As we have learned with email, once the technology hits the desktop you are fighting fires – so let's not wait for the fire to start, let's prevent it starting in the first place.

I am a firm believer in the phrase 'evolve or die', and that really is where our profession sits at the beginning of 2011. We have an enormous amount of opportunity, but we also have an enormous skill gap; and that's not to say we must become all things to all men, but we do need to be aware of the things that impact on our sphere of influence. But first we must define what that really means.

The New Year is always a time for reflection and assessment. Our profession is going through this process across the world – the RMS in the UK is now the RIMS, the RMAA has evolved into RIM Professionals Australasia – so with our professional associations taking the lead, it is incumbent upon us to redefine our roles, to empower ourselves with the knowledge and tools required to move with the profession and the environment, to swim with the tide not against it.

I truly hope that 2011 is the year of partnership – the year when we work together, vendors and users, records managers and information architects, software developers and system administrators, to define a sustainable, compliant, cost-effective and useful system and program for our organisations, enabled by technology not driven by it. Does that mean a change in thinking? Yes it does, and yes it should:

> "IDEAS CAN BE LIFE-CHANGING. SOMETIMES ALL YOU NEED TO OPEN THE DOOR IS JUST ONE MORE GOOD IDEA" JIM ROHN

In 2008 Steve Bailey wrote, "The world is changing fast and we are in danger of getting left further and further behind." That message has not been heeded by our community and it has to be – if we do not evolve we will die. The smarter the tools get, the less relevance we are seen to have. The tools are 'cool', providing business opportunities, improvements and making a real change to the daily lives of our users, more flexibility, and more effective use precious time. Yet we often stand shouting about "compliance" and "risk" – hardly sexy phrases but absolutely necessary, though inspiring? Possibly not. But put them together, the sexy tools and the flexibility, with the compliance and risk reduction well hidden in the back office where it belongs, and we may then be in a position to "ensure that the RM profession is fully able to meet these challenges and to perform the role required of it". iQ